

TEACHER PERCEPTIONS OF AND REACTIONS TO THE  
INTRODUCTION OF PERFORMANCE APPRAISAL. A CASE STUDY OF  
THREE COMPREHENSIVE SCHOOLS


STEPHEN BARTLETT M.A.

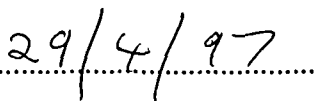
A thesis submitted in partial fulfilment of the requirements of the University of  
Wolverhampton for the degree of Doctor of Philosophy

April 1997

This work or any part thereof has not previously been presented in any form to the University or to any other body whether for the purposes of assessment, publication or for any other purpose. Save for any express acknowledgements, references and/or bibliographies cited in the work, I confirm that the intellectual content of the work is the result of my own efforts and of no other person.

The right of Stephen Bartlett to be identified as author of this work is asserted in accordance with ss.77 and 78 of the Copyright, Designs and Patents Act 1988. At this date copyright is owned by the author.

Signature.....

Date.....

## Abstract

Staff appraisal of teachers may be described as a vehicle for professional development resulting in greater levels of reflective practice. Conversely it can be seen as a form of monitoring by appraisers of subordinate appraisees as part of a process of increasing control over the work of teachers .

This study examines the history of the appraisal process which has been part of the changing nature of teaching during the past two decades. Using a combination of observation, interviews and institutional documents, the introduction of appraisal into three comprehensive schools is explored.

The research shows that the three schools have fared very differently in the increasingly competitive market place. The variations in the introduction and implementation of appraisal reflect these differences.

Appraisal is viewed in differing ways by teachers depending upon their personal history and experiences. Perceptions revealed within the research include a view of appraisal as professional development and of appraisal as a control mechanism. Resistance to the controlling element of the process was also detected. Appraisal appears to restate the hierarchical nature of the staffing structures of the schools studied. An examination of the appraisal process from the standpoints of the different groups involved, the senior management, the appraisers and the appraisees, highlights the micropolitical nature of schools as organisations. It is suggested that in applying this analytical framework to any appraisal system the nature of power relationships will be exposed.


It would appear that, generally, appraisal has been of little use to the teachers and managers in these schools. This was perhaps the result of a process being set up to achieve a number of aims, some of which conflicted. It is proposed that the original purposes of appraisal should be separated and individually considered. In this way achievable methods of fulfilling them could be designed.

## Contents

	<u>Page</u>
<b>Chapter 1. Introduction.</b>	<b>6</b>
<b>Chapter 2. Literature.</b>	<b>9</b>
i. The Professional Nature of Teaching and Proletarianisation.	9
ii. Schools as Micropolitical Organisations.	24
iii. Appraisal Literature.	37
a. Purposes of Teacher Appraisal.	37
b. The History of Teacher Appraisal.	47
c. The Legal Framework for Appraisal.	57
d. Evaluations of Teacher Appraisal.	62
<b>Chapter 3. Research Methodology.</b>	<b>73</b>
i. Justification of Approach.	73
ii. Research Design.	76
a. Forms of Interview Used.	76
Chance Meetings.	76
Interviews During the Setting up of Appraisal Systems.	77
Formally Arranged Interviews With Large Numbers of Staff.	77
Interviews Conducted One Year Later.	79
b. Observation/Participant Observation.	79
c. Questionnaires.	80
d. Documentation.	81
iii. Validity and Rigour in the Research.	82
iv. Data Collection.	85
School One.	85
School Two.	86

School Three.	87
<b>Chapter 4. Contextualisation of the Schools Used in the Research.</b>	<b>89</b>
School One.	91
School Two.	94
School Three.	97
<b>Chapter 5. The Introduction of Appraisal Into the Schools Used in the Research.</b>	<b>101</b>
School One.	102
School Two.	109
School Three.	115
<b>Chapter 6. Transcription and Analysis of the In-Depth Interviews.</b>	<b>118</b>
School One.	118
School Two.	137
School Three.	153
<b>Chapter 7. Discussion and Analysis of the Data Gathered.</b>	<b>169</b>
School One.	169
School Two.	171



<b>School Three.</b>		<b>174</b>
<b>Final Summary.</b>		<b>177</b>
<b>Chapter 8. Future considerations.</b>		<b>185</b>
<b>Bibliography.</b>		<b>187</b>
<b>Appendix 1. Interview Schedule.</b>		
<b>Appendix 2. School One Documentation.</b>		
<b>Appendix 3. School Two Documentation.</b>		
<b>Appendix 4. School Three Documentation.</b>		

## Chapter 1. Introduction to the Study.

Performance appraisal of teachers was introduced as a legal requirement in 1991. This came at the end of what Chitty termed "a decade of constant and momentous change in the education system of England and Wales" (1992a, p. 1). He noted that the complex, and at times difficult to understand, nature of government policy centred upon privatisation, market forces, and increasing power at the centre. Lawton referred to this policy as a mixture of "exaggerated traditionalism, market forces and over-centralisation in education" (1994, p. 147). The official aims of appraisal were to assist:

- a) school teachers in their professional development and career planning; and b) those responsible for taking decisions about the management of school teachers. (Statutory Instruments No 1511, 1991, p. 2)

Clearly appraisal was to have two distinct purposes. Evans and Tomlinson (1989) had earlier expressed doubt as to whether one model of appraisal was able to simultaneously operate as a mechanism both for control and for professional development. Appraisal can be seen as an attempt to alter teaching either by helping teachers to professionally develop or by increasing the external control over their working practices. This study aims to examine the introduction of appraisal and how it was perceived by the teachers involved.

In considering the impact of appraisal on the individual teacher certain issues need to be considered. The nature of teaching as a professional activity is investigated which involves an account of the complex nature of the term 'professional'. From this perspective the purpose of appraisal can be defined as enhancing the professional development of the individual.

An alternative view is then examined, which posits that the work of teachers is being increasingly controlled as their professional autonomy is eroded. The image here is one of proletarianisation and deskilling of the teaching force. This was seen by Ozga (1995b) as arising from the growth of managerialism in schools and was perhaps an inevitable result of education being viewed as a commodity. From this perspective appraisal is regarded as part of the increased supervision and monitoring of the work of teachers as line management structures become increasingly powerful.

From here the study turns to focus on the school as an organisation. In times of rapid change and uncertainty, schools are seen to display aspects of what Bush (1995) called ambiguity models of organisation. The structuring of secondary schools into departments and pastoral units, each with different identities, has allowed teachers relative autonomy within their subject area. This independence has perhaps been further increased by the isolated nature of the individual teacher's work in his or her own classroom. It is suggested that the concept of coupling, outlined by Weick (1976), is useful in this research when considering

how a policy was or was not adhered to throughout each school. Coupling refers to how closely different parts of an organisation are linked together. The coupling may be relatively tight with management directives carried out and monitored. The coupling may, on the other hand, be looser and procedures within different parts of the school could vary greatly. Managers in these instances may find it difficult to exert direct control due to the relative autonomy of certain groups of staff.

The concepts of loose and tight coupling may also be significant when considering teachers as professionals working within organisations. Appraisal, if not being for individual development, could be seen as an effort to tighten the coupling by developing systems of monitoring and formal evaluation of staff. This may be regarded as increasing central control over the work of teachers. Any resistance to appraisal might represent individuals' attempts to maintain their autonomy.

Blase (1991) has pointed out that schools do not operate in isolation. They have always been influenced by wider macro forces, such as national regulations, laws and levels of funding. Each school in this study has undoubtedly been affected by its immediate environment in terms of local social and political factors. There also exist issues within each school concerning the staffing structure as well as the relationships amongst staff and pupils. Such micropolitical factors make each school unique in institutional terms.

The impact of national policy will probably manifest itself differently in each institution depending upon various significant internal and external factors. In the view of Ball (1987), schools were shaped by multiple forces both outside and within them. Thus when considering the impact of appraisal, the differences between the schools as well as the perceptions and circumstances of teachers within each institution will be issues of key importance.

The collegiate approach to teachers' work and the effects of contrived collegiality, as identified by Hargreaves (1994), are considered to be important factors in understanding the introduction of appraisal within the study. Appraisal may promote a form of collegiality through which teachers consider, and ultimately improve, their practice. Alternatively what is presented as professional development may actually be an aspect of contrived collegiality, making appraisal a sophisticated means of control. Thus the concept of collegiality can be interpreted and used in different ways. This may help to explain how an intensification of the work process can be presented as increasing professionalism.

The literature on teacher appraisal is considered in detail. Different models of appraisal are examined. These polarise around a staff development model and an accountability model, according to Goddard and Emerson (1992). The whole appraisal process and the meanings associated with it are then considered. The history of teacher appraisal is explored and it is suggested that this can be presented as part of the continuing struggle and tension between the developing of teaching as a profession and the growth of managerial control (Bartlett 1996a). Evaluations carried out on the introduction of teacher

appraisal are then reviewed for the insight they may reveal on initial reactions to the process. It is likely that appraisal will have different meanings for those involved, depending upon its perceived purpose. The process which has been introduced as compulsory for all teachers in England and Wales may be seen as compromised and giving out conflicting messages.

It is suggested here that the controversial nature of appraisal means that how it is introduced and the perceptions of those involved will be crucial in terms of its impact. This research considers this notion through the analysis of empirical data.

In accepting the micropolitical nature of the working life of teachers in schools, the research project seeks to analyse;

whether the implementation of teacher appraisal varied greatly from school to school and to what extent this applied even when the schools are geographically close;

how the external conditions in which schools operate had an effect on the operation of appraisal and whether particular internal conditions of the organisations affected the operation of appraisal;

the differing views held by teachers regarding the purposes of appraisal and the relationship of these views to the personal values, histories and, significantly, the position within the school hierarchy of those teachers;

to what extent appraisal was perceived as a means of staff development, an aid to managing the school or a form of control over individuals;

the issues of power and authority involved in appraisal and how the micropolitical nature of professional relationships, managerial relationships and individual relationships influenced the process of appraisal for individuals and the whole school.

The research was undertaken in three comprehensive schools. Each is contextualised through a description of local circumstances and the effect of national and local issues highlighted. An account of the introduction of appraisal into the three schools is given and analysed. As the main focus of the study is the perceptions and experiences the staff had of appraisal, the data, being of a qualitative nature, was mainly collected by interviews with observations and documentation used to supplement these.

## **Chapter 2. Literature.**

### **i. The Professional Nature of Teaching and Proletarianisation.**

This section considers the nature of teaching as a professional activity. It involves an analysis of the term 'professional' and its application to the work of teachers. An alternative perspective is also considered which sees the increasing proletarianisation of the teaching force. Here the work of teachers is portrayed as being increasingly controlled and their professional autonomy eroded. This view has developed as education has become increasingly subject to market forces. It is symptomatic of the perceived growth of managerialism in schools and the concomitant deterioration in the working conditions and job satisfaction of teachers.

When placed alongside an examination of schools as organisations this section gives an overview of the working relationships of teachers. Having looked at these issues, the literature on staff appraisal is then reviewed. The appraisal process may be seen as part of the professional development of teachers or as the exertion of increasing external control over their work.

The term 'profession' has been frequently used when considering the work of teachers. The Dearing Review (1992), for instance, stressed how teachers needed to be able to make decisions as professionals about the nature of the curriculum. Teachers may thus be praised or criticised on the basis of their professionalism. The whole position of teachers as professionals perhaps needs to be clarified at this point. In order to do this the meaning of the term 'profession' should be examined and then consideration given to how it applies to teachers.

Early theoretical approaches such as that of Flexner (cited in Becker 1962) attempted to list professional traits. Different occupations could then be measured against these. Thus Moore (1970) considered certain defining characteristics which could be used when ranking occupations on a scale of professionalism. Functionalist analysis (Parsons 1968) showed the functions which professions fulfill in society and thus why they existed in this form. O' Donnell (1992) identified the Neo-Weberian perspective in which professionals were seen to operate primarily on the basis of self-interest by controlling their own market position. He also outlined a Marxist analysis which viewed professions as being the agents of capitalism. From this standpoint Bowles and Gintis (1976) saw teachers as agents of social control and reproducers of the class system.

The term 'profession' was seen as a symbol by Becker (1962) which contained an ideology used to justify action and ways of behaviour. He noted that many occupations trying to become professions used the symbol in an attempt to increase their autonomy and

raise their prestige. They would try to take on as many parts of the symbol as possible. Becker may well have considered teaching as such an occupation.

Larson (1977) suggested that the ideal typologies were modelled on the established professions, hence the importance of the medical model. However she questioned the use of ideal types in giving a realistic account of professional practice.

These ideal type constructions do not tell us what a profession is,  
but only what it pretends to be. (Larson, 1997, p. 204)

She suggested that with the complicity of the state these professional occupations have been able to obtain a *monopoly* over specific areas of labour. The professional ideology has developed to legitimate and protect that position. Larson (1977) suggested that entry to the professions, based on educational qualifications, helped to promote the myth of meritocracy in capitalist societies. Thus professionalism illustrated how different occupations protected their positions and helped to perpetuate the class system:

.....the real and the ideological privileges associated with  
'professionalism' legitimise the class structure by introducing status  
differentials, status aspirations, and status mobility at potentially  
all levels of the occupational hierarchy. (Larson, 1977, p. 239)

For teachers the gaining of professional status may have been a means of improving their economic position. The difficulty that the occupation has had in maintaining or even achieving this status may be seen as a sign of its weakness in relation to other professions. It may also be a form of resistance by other occupations to the improvement of teachers in relation to themselves.

It is perhaps worth considering some professional traits with which to compare occupations. Bottery (1996) suggested that at least seventeen different criteria have been claimed at one time or another as describing professional behaviour. Hoyle (1980) gave a list of criteria and built in value assumptions of a profession. It was assumed that a profession was an occupation which performed a crucial social function that required a considerable degree of skill. The work was not routine and each situation faced by the practitioner was unique. Thus it was essential for the professional to make their own judgements based on their theoretical knowledge and experience gained through practice. This knowledge and initiation into practice was acquired through a lengthy period in higher education. The education and training also involved socialisation into professional values which centred on clients interests and were made explicit in a code of ethics.

Hoyle (1980) also noted that, due to the nature of professional work, it was often argued that the organised profession should have a strong voice in the shaping of public policy, a large degree of control over the exercise of professional responsibilities and a high

level of autonomy in relation to the state. As a result of its expertise and ethics the profession would be rewarded with high prestige and remuneration.

Leggatt (1970) combined lists drawn up by other writers to outline the characteristics of professional work. The conclusion was that the professional practice was seen as founded upon a base of theoretical, esoteric knowledge. This required a long period of education and socialisation. Motivation of professionals was promoted through the ideal of altruistic service rather than the pursuit of material and economic gain. Careful control was exercised by the professional body over recruitment, training, certification and standards of practice. The profession was thus well organised and had disciplinary powers to control the conduct of its members.

From the foregoing it is clear that there have been arguments about whether professional occupations are primarily about service to the community or about private self interest at the expense of others. There has also been disagreement over what constitute the characteristics of a profession. Salient characteristics appeared to be of a specialised body of knowledge to do with the occupation which required learning in higher education. There was a code of professional conduct and ethics with a strong emphasis on service. There was a high degree of self-regulation by the professional body itself over entry, qualifications, training and members' conduct. It is perhaps worth examining how teachers have matched up to these professional criteria.

In 1957, Tropp (1957) felt that teachers had, through steady development, reached the status of professionals. Teaching was seen as a worthwhile occupation. There were teaching associations whose aim was to raise professional standards. Teachers had fought for educational progress and been engaged in continuous research and evaluation. He felt that at work teachers had gained almost complete independence. Employers' views were mere rough guides to teaching and HMI were regarded as helpful senior colleagues. Tropp (1957) saw this professional development and independence within education as a safeguard to democracy and protection against the growth of dictatorship.

The only thing that was not in place was a separate teaching council which would control recruitment and regulate the profession. Tropp (1957) was of the opinion that many of the aims of self government had already been reached by teachers over time in spite of this. In conclusion he said:

Without any of the advantages of the older professions, they have fought successfully for the welfare of the schools and for an increase in their status. They have shown how it is profitable to the State, the teachers and the children to enlarge the freedom of the teacher and to make educational administration a matter for joint consultation. They have proved that through the activity of professional associations it is possible to reconcile the desires of the individual to fulfill his professional conscience with the needs of the state. (Tropp, 1957, p. 270)

From the mid-seventies many of the developments described by Tropp (1957) have been reversed. There was from this time, mounting criticism of the work of teachers in the media (Chitty 1989). Increasing central controls and the development of market forces led to the curtailing of the professional teacher autonomy which Tropp (1957) talked about.

Lortie (1969) considered that rather than having their own body of knowledge, teachers borrowed from others such as educational psychologists. Leggatt (1970) also noted the poor theory base in teaching. He saw teachers as having little regulatory control over any area of their work except that of actual classroom teaching. Here they worked in isolation which may have made them weaker as a group. Leggatt (1970) thus saw teaching as a low status bureaucratic profession and unlikely to ever be anything else.

With the growth of education and the increase in funding, Parry and Parry (1974) pointed out that it was in the interests of the state to oppose the aspirations of teachers to professional self-regulation and control. Appraisal from this perspective was likely to be viewed as a means by which the state maintained its control over teachers.

Many occupations have developed higher levels of training and standards of practice to enhance their claims to professional status. However, Wilensky (1964) said that many of these groups rested on a knowledge base which was either too general and vague or too narrow. They lacked autonomy and were supervised by those without professional status themselves. Etzioni (1969) preferred to classify these occupations as 'semi-professionals'.

These workers, in his view, were characterised as working in bureaucratic organisations, a large number of them were likely to be female, training was usually less than five years, the knowledge base was weak and not directly used by the worker. Significantly, they had restricted autonomy because they were controlled by those in higher ranks. Their working day was tightly regulated and they were subject to checks in areas where their work was least visible.

Teachers may be seen as being prime examples of semi-professionals. Report-writing, school inspections and pupil examination results have regulated the autonomy of teachers. Appraisal, rather than being for professional development, may be seen as an additional check on the less visible aspects of a teacher's work.

Perhaps in realisation of the fact that teachers did not really match the model of the established or more traditional professions, there have been attempts to redefine the term 'professional' or to present different kinds of professionalism. Much of this discussion has focused on the actual practice of teaching.

Emphasis was placed upon the special knowledge of professionals by Schon (1983). This knowledge could be used to solve problems and promote social progress. Thus he saw professional careers as among the most coveted and remunerative of occupations. He felt that there had been, in the 1960s and 1970s, a crisis of confidence in professional knowledge expressed by both clients and professionals themselves.



He saw this as stemming from professionals reliance on a model of technical rationality which was based upon specialised scientific knowledge. This traditional approach was proving less effective when the areas in which they operated were not so isolated and became influenced by a wide range of unpredictable factors. Schon (1983) suggested a change of approach for the modern professional to what he termed 'reflection in action'.

The modern practitioner, according to Schon (1983), constantly questioned and reflected upon practice. This involved the professional regarding his/her work from the point of view of the client or as an outsider. The purpose of this was to understand all aspects of the process resulting in a greater professional insight. This whole procedure, involving evaluation, criticism and ultimately self development, required openness and trust between those involved. Discussion of practice was shared with both clients and fellow professionals. In this way modern professional communities reflected upon, discussed and learned from each other's work.

Schon (1983) noted the importance of professionals and professional knowledge in the running of any large organisation. In order to develop professionals needed to be reflective and to share practice. This required flexibility in working procedures to allow for experimentation by individuals. This in turn would lead to a more dynamic organisation.

Schon further identified tensions, in that reflection may lead to lack of satisfaction with existing structures. Formal organisations were also under pressure to operate in a predictable and consistent manner. This encouraged a system of management control which may seek to restrict professional autonomy of action and thus the scope for reflective development.

The reflective practitioner approach developed by Schon (1983) stressed the importance of self criticism as part of professional development. The developmental view of professionalism may be seen in the action research approach. This perspective, examined in the literature section on appraisal, would see appraisal as part of continuing professional development. This would be as a result of encouraging reflective practice through discursive consciousness as outlined by Elliott (1993).

Hoyle (1980), along similar lines, differentiated between two sorts of teachers. Restricted professionals may be conscientious practitioners but were limited in outlook. Extended professionals sought to improve by learning from other teachers and professional development activities. They were involved in practitioner research and linked theory to practice. Once again appraisal could be seen as contributing to this process.

Warnock (1987) suggested establishing a general teaching council and urged teachers to abandon their unionised activity as unprofessional. This came after a series of disputes which led to the legislation which introduced compulsory teacher appraisal. She did seem to take a rather naive view, namely that if teachers stopped industrial action then the state would treat them as professionals and value their expertise.

This was a strategy warned against by Grace (1987). He coined the term 'legitimated' professionals to describe the position of teachers. In this teaching was allowed a certain professional status by the state which involved a measure of autonomy, trust, salary and security. In return these legitimated professionals had to be loyal to the social order. For Grace (1987) this involved the de-politicisation of all aspects of teaching and incorporation into the aims of the state. Thus:

the ethic of legitimated professionalism..... 'domesticates' the occupational group so that it becomes, from the perspective of the central state, a far less threatening entity. (Grace , 1987, p. 222)

This was a weak position according to Grace (1987). He pointed out that in the 1970s teachers had felt secure in their position but were left unable to defend themselves in the 1980s when the government attitude and policy towards them changed. Thus appraisal may, in its early stages, have been part of the development of the legitimated professional. Later, when made compulsory, it may be seen as part of greater state control after a change in the relationship.

Teachers may still be what Ribbins (1988) termed interdependent professionals. They could be seen as being 'expert partners' in education. He perceived them as an enabling profession. By using their specialist skills and knowledge they were able to bring together all those concerned with the education process, that is, parents, pupils and the community. Ribbins (1988) saw this as a difficult but laudable and necessary position.

The claim to professional status by teachers had always been considered weak by Downie (1990). He saw its tenuous position in terms of self determination as leaving it open to attack by a right wing government whose Neo-Liberal wing sought to develop the market and parental choice. He envisaged that the forces of the market would destroy both professional relationships and the independence of judgement by the professions.

In examining the reflective practitioner model of professions, Avis (1994) pointed to its strengths in improving practice and developing an open and accountable approach to teaching. However by concentrating on classroom practice it ignored the wider political debate and conflicts which surround education:

Clearly a dynamic model of professionalism embodied in the reflective practitioner is valuable, in that it does encourage us to examine the taken for grantedness of our practice, to indulge in autocritique. However it is compromised by its lack of a politics. (Avis, 1994, p. 68)

This criticism has, in fact, been countered in terms of the action research approach by Elliott (1993). The suggestion which Avis (1994) made was that a new conception of teacher professionalism needed to be forged. This would recognise the skills, knowledge, and

understanding of the work of teachers without falling back on the traditional model. The qualities of teacher expertise could be used in a dialogue between all interested parties about the aims and importance of education. This would involve conflict and argument but Avis (1994) saw this as worthwhile. In a similar way to Ribbins (1988) the suggestion was one of teachers using their expertise to bring interested parties together. However just as the reflective practitioners were criticised for not taking account of wider political debate these proposals did not do so either in that they paid no heed to the power differentials between interested parties.

Profession is a status which has often been linked to the work of teachers. Lawn and Ozga (1988) pointed out that the use of the term 'professional', by teachers and the state, changes and has variations in meaning. They saw a major contradiction between meanings generated by employers and employees. Professionalism could be invoked as a means of resistance or control or both at different times. It was thus significant that appraisal has been linked to professional development. This implies that both 'appraisal' and 'professional' are concepts that may be used in different ways by different interests.

There is another aspect to the debate about the nature of teacher professionalism. This has suggested that teachers, like many other professional and semi-professional workers, have been subjected to a process of proletarianisation.

The proletarianisation thesis stated that, as capitalism developed, work processes were steadily rationalised. Braverman (1974), in proposing the thesis, said that management increased its control as jobs became more routinised. Technological advancements were seen as aiding this process, leading to rapid deskilling. Salaman (1986) saw deskilling and management control which ensure compliance of the workforce as being the two major components of the proletarianisation thesis. Proletarianisation itself has been defined as:

the process which results when the worker is deprived of the capacity to both initiate and execute work, it is the separation of conception from execution, and the breaking down of execution into separate, controllable, simple parts. This process deskills the worker, and results in the erosion of workplace autonomy, the breakdown of relations between workers and employers, the decline of craft skills, and the increase of management controls. (Ozga and Lawn, 1988, p. 324)

Teachers have been susceptible to similar processes which led, according to Apple (1988, 1986), to the proletarianisation of many other jobs. The growth of management systems, prescriptive curricula and pre-set objective testing of students have all been cited as examples of how teacher autonomy has been eroded. The nature of the change, Apple (1988) said, could be linked to the class and gender nature of the work and also to the increasing economic pressure on education spending.

Initial attempts by management to rationalise and control may have caused problems. However in the view of Apple (1988) they were often eventually accepted and could then be increased. In this view the introduction of appraisal is as a form of staff development. However, once the procedure is introduced and accepted its nature could be changed to be one of staff assessment.

Accompanying the increasing control over teachers' work Apple (1988) identified a process of intensification. This involved an increase in tasks associated with the job. There were contradictions in that this may have entailed the use of a broader range of skills but it also meant less time to keep up with one's own expertise, having to rely on the ideas of others and on pre-packaged programmes. Completing the tasks became more important than how this was done as the workload had increased and teachers felt under greater pressure.

Certain characteristics of the intensification thesis were noted by Hargreaves (1994). These included less time for relaxation during the day, lack of time to keep up with one's field and chronic and persistent overload which reduced personal discretion. This fostered dependency on externally produced materials. Corners were cut to save time, which in turn led to enforced diversification of expertise to cover personnel shortages. This may have then created further dependencies on externally produced resources and cutting of corners.

The need to efficiently manage and the increased technical control may have led teachers to feel that they were developing professionally. However Apple (1988) stated that teachers have lost control of the actual planning and reasoning behind their work. He said that teachers have mistaken the intensification process as an increase in their professional competence. Thus the concept of professionalisation had been used to deskill and reskill teachers. As Hargreaves (1994) put it:

Intensification is voluntarily supported by many teachers and misrecognised as professionalism. (Hargreaves, 1994, p. 120)

The labour process of teaching has always been intense but what has altered, according to Gewirtz (1996), is the pattern and texture of intensification. By this she refers to the nature of the tasks which were absorbing increased quantities of teacher time and emotional labour and also the climate of surveillance within which those tasks had to be carried out.

Appraisal can be seen as being another aspect of intensification. Like many other legal requirements of teachers it involves the development and use of new skills, such as those of appraising others and self evaluation. Whilst actually enhancing management control it may give the impression of developing the professionalism of teachers.

Freedman (1988) noted that, as proletarianisation spread to the professions, the occupations became increasingly differentiated. New posts were created whereby some controlled others. This was reflected in teaching by the increasingly identifiable

management hierarchy and the creation of senior management teams. The use of the term 'burnout' Freedman stated, was to focus on the individual rather than the institution as work pressure increased.

According to Buswell (1988), greater fiscal restraints have not only suggested that increasing control over the majority of teachers could be exercised, but also that professional duties would be written into tighter contracts. She saw this as reflecting the increasing alienation amongst teachers which may have reduced their commitment to the organisation.

Many changes have been noted in the work process of teachers by Ozga and Lawn (1988). Their ability to control pace, content, volume and assessment of work has changed. Routine administrative tasks have grown in number. The decline in career prospects and the increase in management jobs which constituted promotion out of teaching may be taken as evidence of proletarianisation. Schools' managements became more supervisory and concerned with performance levels, in keeping with their industrial counterparts. Teaching jobs became less secure with redundancy, redeployment and retraining issues attacking the professional concept of the specialist. According to Ozga and Lawn (1988) these points, along with a tightening employment contract, lent support to the proletarianisation thesis.

This process may be seen to have extended to the training of teachers, where policy has been to fragment the provision, reduce the higher educational input and control the content (Barton et al. 1994). The aim was to reduce the wider professional and critical awareness of new entrants into teaching as the emphasis moved towards training and competence in the classroom. This has been mirrored by the growth in importance of experienced teachers as mentors. Thus higher education was left with an unclear role as shown by Burton (1995).

Ball (1991) argued that government policy of presenting education as a commodity has steadily transformed the nature of schools as organisations and workplaces. Forms of industrial management became seen as appropriate for schools. Increasingly funds were allocated to create such a management force. Management techniques have had the effect of separating policy making from its execution and thus delimiting the professional role of the teacher. Ball (1991) saw this as encouraging a 'them and us' attitude similar to that existing in industry.

According to Ball (1991), with the introduction of a formal contract, with pay and promotion being increasingly tied to performance by incentive payments, the employee perspective as opposed to the professional perspective of teachers was in the ascendancy. He also related these developments to the introduction of teacher appraisal. Ball (1991) showed that the cumulative effect of market forces and central control of the curriculum was a significant change in the labour process of teaching:

What we have is a massive interconnected policy ensemble. A complex of projects, initiatives, schemes, agencies, imperatives and legislation, which is pushing education in new directions and is affecting the way teachers work, the way schools are run and organised, and the nature and delivery of the school curriculum. (Ball, 1991, p. 98)

He did admit that this change was not coordinated, embodying certain contradictions. It was, in Ball's (1991) view, general and piecemeal rather than total and precise. This leads us to some reservations about the proletarianisation thesis in general and as it applies to teachers in particular.

Proletarianisation tends to have been presented as an inevitable process. This determinism, as Wood (1982) noted, has seen the outcomes as inevitable. It has ignored the actual struggles between competing groups. Rather than a managerial conspiracy there has been a political process at work. A process of social construction of skills by both workers and management was seen by Wood (1982) as a means of control or of status enhancement. An appraisal process may thus be used in different ways by those involved. It may not be inevitably controlling.

Work has taken a wide variety of forms according to Salaman (1986). Crude deskilling is rejected. As some skills have disappeared due to technology, others have been created. He also said that the strategies both workers and managers used as well as their own values, beliefs and interpretations were important. The end result was not predetermined:

....this passive conception of workers and managers may be replaced by an approach which regards both, and all forms of employees, as engaged in active efforts to make sense of, and to a degree achieve control over, their work destinies and experience. (Salaman, 1986, p. 21)

Considering the case of primary teachers, Lawn (1988) looked at the meaning of skill and found evidence of bargaining, negotiation and direct contestation depending upon the particular circumstance. He said that at different times the mode of control over teachers has altered, varying from detailed regulations on the curriculum and training of teachers to the emphasis on local control and partnership with teachers. He looked at how teachers develop and use many methods to 'resist' the increase in control over their work.

There have been deep contradictions not only between teachers and employers but also, as Ozga and Lawn (1988) pointed out, between teachers themselves implying that the current trends of control over teachers were not inevitable. They pointed to the different layers involved in the social construction of skills when:

teachers, like other workers, try to determine the nature of their work through the nature of their work relations, through collective

actions and through the influence of national and local policies.  
(Ozga and Lawn, 1988, p. 334)

They suggested that discussions concerning the control of work needed to take into account workplace relations. Ozga (1995a) pointed to key questions when analysing teachers' work. These focus on changing policy frameworks and their effect upon teachers, which versions of professionalism are sustained by teachers, the importance of social relations in constructing teachers' work and how effective management is in controlling, defining and extracting work from teachers.

Arguments concerning professionalism and proletarianisation have tended to meet when the complex nature of the changes in the work of teachers are considered. These changes may be tied to the altering nature of management and control in the public sector. Ball (1994) argued that in the current development of the market, professionalism has been replaced by accountability, collegiality by costing and surveillance.

The influence of the New Right policies on the professions has, according to Hoyle (1995), been a by-product of the focus on the market and on the politicisation of accountability through direct and indirect centralisation. Hoyle (1995) noted that, in effect, these policies could be termed 'deprofessionalisation'. He realised that those responsible for the policies may argue, however, that they had actually made those occupations termed professions more truly professional in relation to the needs of their clients.

Within education Hoyle (1995) saw the meaning and use of the term professionalism as having altered. The focus was now in and not beyond the classroom. It had come to mean a form of management-assured quality delivery.

Ozga (1995b) characterised teachers as bureaucratised, state professionals. It was the relationship with the state which she saw as most significant. Current developments in the work of teachers could be seen as a manifestation of changes in this relationship:

The current transformation of the bureaucratised Keynesian Welfare State into the small, strong state in the service of the market inevitably brings with it a reduction of professional power and status. (Ozga, 1995b, p. 23)

Thus the state sector has become smaller as the market developed. Ozga (1995b) pointed out that the state had effectively retained strategic control of teaching, the curriculum and assessment whilst using school heads to develop the market strategy. This process involved cooption of management and the growth of managerialism. She said that the education market was characterised by differentiation and stratification, though the rhetoric was that of choice, diversity, responsiveness and flexibility. This point has also been made by several studies which have examined parental choice of school (see Bowe, Ball and

Gewirtz 1994 and Ball, Bowe and Gewirtz 1996). This stratification and segmentation she saw as spreading to the teaching force as well as reinforcing existing inequality.

There has developed, according to Ball (1994), a greater gap between headteachers and teachers as heads have become increasingly concerned with financial management. This has in his view, encouraged the emergence of a line management culture within schools. Grace (1995) found that as the culture of management became more salient, there arose a conception of 'senior management' which was distinguished from 'middle management'. This image helped to distance the different groups which made up the school hierarchy from each other.

Ozga (1993) has suggested that the strategy was to create and encourage division of status and hierarchy within the profession. This would allow considerable scope for diversity of treatment of the teaching force. The increased spending on management training has been reflected in greater rewards for this group. At the same time with wages coming from within the school budget there has been pressure when making appointments and replacing teachers to reduce costs.

Management discourses such as Human Resource Management and Total Quality Management have promoted a strong corporate culture according to Ozga (1995b). This has involved a shared set of managerially sanctioned values such as quality, service, innovation. In Ozga's (1995b) view this was to create a cohesive workforce whilst avoiding workforce solidarity. Through these discourses professional workers have been subject to many controls and processes that permeate their work. As Reay (1996) put it:

The powerful discursive influences of school effectiveness and new managerialism work together to engineer teacher compliance and institute processes of internalised surveillance. (Reay, 1996, p. 24)

She saw this as the beginning of a shift away from professional towards corporate identities amongst teachers.

As market success has required smooth production and eradication of problems, Ozga (1995b) suggested that deviations from policy were less likely to be tolerated. Thus under the guise of empowerment and collegiality, teachers were subject to increasing monitoring and surveillance. She suggested that the growth of management teams and supervisory functions may have 'extended' the professionalism of some but deskilled others.

Appraisal may be seen as part of the increasing monitoring and surveillance of which Ozga (1995b) spoke. Appraisal may enhance feelings of professionalism amongst the appraisers. At the same time the appraisees with years of experience may regard the process as intruding upon their professional sphere. For these staff it may be deprofessionalising.



Ozga (1995b) pointed to the redefinition of professionalism in managerial terms. This did have consequences for other teachers who in her view were increasingly flexible, deskilled and part-time:

There are invidious consequences for all teachers, managers and managed, in the acceptance of externally constructed agendas that contribute to loss of control over the meaning and purpose of work, which is the essence of deskilling. (Ozga, 1995b, p. 35)

In this view appraisal can be seen as being part of management control. It is externally imposed and adds to the deskilling within schools.

Bottery (1996) also saw the fact that teachers were professionals in state bureaucracies as significant. He agreed that their management and supervision had changed drastically over the past fifteen years with the growth of what he termed the 'new public management', in common with other professionals working in the public sector. These changes have involved retrenchment due to reduced budgets, increased scrutiny in terms of costs and efficiency, changes in contract which have redefined power relationships in favour of management, and greater content control over work. In Ball's (1994) terms management concerns now related to external quality control and internal cost control, whilst teaching and learning processes were defined by customers' needs rather than by professional judgements. Ball (1994) explained that the outcomes of 'good' teaching were increasingly defined by a number of statistical indicators.

Elliott (1996) has pointed to the importance of school effectiveness research (SER) to politicians and government officials. SER has assumed agreement as to what constitutes effectiveness when looking at schools. This has taken a narrow, traditional view of schooling and of the purposes of education. Elliott (1996) suggests that SER takes teaching to be a technical process whilst the complex nature of teacher and pupil interaction has been largely ignored. As a result alternative ideologies of the educational process, which involve the values and meanings of those involved, have not been considered by the product approach. *The assumption is that structures and their management are more significant than the individuals who make them up.*

There has been a shift to what Gewirtz (1996) called the post-welfarist education policy complex (PWEPC). This was primarily concerned, in her view, with market democracy and individual competitiveness. She saw this as having a number of effects on management, such as a desire for increased target setting and performance monitoring. This stemmed from a preoccupation with balancing the budget.

In general terms Bottery (1996) regarded policy as generated by a combination of management concerns and issues of competition. There was a continual need to produce figures comparing performance to enable consumers to choose and also for managers to manage. Thus the drive was one towards increasing accountability and control:

Increased interest in matters of quality assurance, through such initiatives as Total Quality Management, is in actuality another pressure on professionals both to listen to what customers want, and to make their own practice more accessible to both 'internal' and 'external' customers, and to managerial scrutiny. In so doing, they provide information on which comparisons can be made between their and other professionals' practice. (Bottery, 1996, p.186)

In this view appraisal may once again be seen as another means of management gathering data and, therefore, as a threat. Bottery (1996) explained that teachers needed to consider their attitudes to new legislation, how they would approach it and the way and degree to which it could be implemented. He suggested that the response:

may run all the way from 'defy' through 'subvert' to 'ignore', on to 'ridicule', then to 'wait and see', to 'test', and in some *(exceptional)* cases to 'embrace'. (Bottery, 1996, p.187)

These responses are very significant when considering teachers' attitudes towards appraisal. What may also be noticed is how reactions vary depending upon the status and position of each individual teacher. As previously noted, Ozga (1995b) suggested that such developments may make some feel that it has enhanced their position while others are subject to greater control. Similarly, Hargreaves has commented that:

When major innovations are introduced, they also divide teachers into supporters who will prosper from the innovation, and opponents who will suffer by it. (Hargreaves, 1994, p. 215)

Thus there have been differing views presented as to the nature of teacher professionalism and the effects of proletarianisation. Hargreaves (1994), whilst accepting the extent of change in teachers work, suggested that the meaning and significance of this change has been more contested. He suggested that the professionalism argument pointed to the *realisation of professional status through extensions of the teacher's role*. The intensification argument pointed to the deterioration and deprofessionalisation of teachers' work. It was seen as having become routinised, deskilled and subject to greater control.

It is perhaps impossible to give an account of one overall process having taken place as schools, and the teachers working within them, are so diverse. Certainly, operating as groups or individuals within schools, teachers have been affected by and have reacted to wider issues. However, they have not been totally determined by them. They have formed judgements, taken decisions and acted according to their own circumstances and perceptions. The workplace of teachers is likely to be a significant factor in how they react to any external regulation. If consideration is to be given to the effects of performance appraisal

upon teachers and how they perceive it, then schools as organisations and the micropolitical forces that help to shape them need to be taken into account.

## ii. Schools as Micropolitical Organisations.

Having examined the concept of teacher professionalism it is now appropriate to consider the organisations in which teachers work. Schools and their daily functioning will have a significant influence upon how teachers operate and also on the nature of teachers' work. Teacher appraisal has been introduced as a legal requirement within all state schools. Thus an understanding of these institutions is required before the appraisal process itself can be fully appreciated.

Organisations have been looked at by theorists from the disciplines of sociology, psychology and management over many years. With an awareness of the mass of information concerning organisation theory, this thesis will be particularly concerned with the micropolitical perspective of life in schools. This will provide a theoretical basis for examining teacher appraisal in schools.

Handy (1993) suggested that the study of people in organisations could never yield predictive certainties due to the multiplicity of variables and the ability of human beings to override many influences on behaviour:

Organisational phenomena... should be explained by the kind of contextual interpretation used by an historian. Such interpretation would allow us to predict 'trends' with some degree of confidence. To add precise quantities to those trends as in the physical sciences, would, however, be inappropriate and unrealistic. (Handy, 1993, p. 1)

He identified seven modern schools of thought in organisation theory. These ranged from the scientific management of F.W. Taylor, through human relations theory, bureaucratic theory and systems analysis, to theories stressing the unique culture of each organisation. Handy(1993) suggested that all of these schools of thought have provided something useful and it would be wise to be eclectic in any study of organisations. Bush (1995), looking at different models in relation to educational institutions, likewise concluded that each offered insights but none provided a complete picture. The usefulness of any model depended upon the context in which it was used.

Similarly, Hoyle (1988) regarded any theory of organisation as relative, partial and normative. He saw current organisation theory as originating from Weber's theory of bureaucracy and early theories of management. He suggested that there were three main paradigms when looking at organisations. The maintenance paradigm took a top down approach and was mainly concerned with how these organisations coped with outside changes and pressures. Thus its concerns were primarily of a macro nature. The radical change paradigm considered management control as reflecting the wider capitalist power. This also was primarily concerned with macro forces. The action paradigm was interested

in how individuals perceived organisations and acted accordingly. It looked at the active stance of the participants and was primarily of a micro approach. The action paradigm has more of a leaning towards micropolitics which is an important approach when focusing on teacher appraisal in the schools within this study.

King (1983), considering organisational analysis of schools, suggested that both marxist and functionalist analyses tended to reify the structures and took little account of the actual people involved. The phenomenological approach, deriving from the work of Schutz as outlined by Natanson (1973), looked at schools as social constructs and considered the negotiated, shared definitions. King (1983) saw this approach as neglecting the importance of power which was what made organisations more than just definitions of reality held by the actors. There were also repeated patterns of behaviour which King saw as representing social structures. Symbolic interactionism looked at symbolic meanings and values. King (1983) found this approach useful but said that the meanings and values "need to be looked at and contextualised in patterns of real behaviour, that is, related to social structure" (p28).

King (1983) saw administrative and managerial theories as explaining how schools should be run. They related to movements producing formulae for efficiency in manufacturing and business. These were more concerned with prescribing how things should be done rather than looking at how they actually were done. Taylorism and the Human Relations movement of the 1930s gave way to systems theory and more recently to such ideologies as human resource management and total quality management:

Like most administrative theories these are not explanations of the organised behaviour of real people, they are prescriptions for the powerful (or, if you prefer, responsible) to achieve what they define as goals, objectives or outputs. (King, 1983, p. 34)

As noted in the previous section the discourse of total quality management may have hidden the increasing control over teachers and the growth of managerialism in education (Ozga 1995b, Bottery 1996). Bush (1995) suggested that the traditional models emphasising formal structure, rational decision making and 'top down' leadership may be seen to have been partial and even greatly deficient.

King (1983) suggested a Weberian action approach to organisations. This stressed the fact that the social structure of a school was made up of people and did not exist without them. Social actors had purpose to their behaviour and these meanings had to be taken into account in any explanation of the organisation. Several variables were significant in understanding the meanings behind social action. These variables were economic, status and power. Conflict as well as consensus was part of the explanation. This humanistic analysis looked for multi-causal explanations. This approach thus considered

issues of power. It also tried to avoid the accusation of determinism by taking into account the meanings of the actors involved:

.....to speak of organisation is to refer to the patterns of behaviour of real people, and that no acceptable explanation can ignore this basic humanity. (King, 1983, p. 35)

The Weberian action approach, with its consideration for the meanings of those involved, provided a basis for the development of anarchic and political models of organisational behaviour. Bell (1980) said that schools had often been seen as organisations pursuing goals. The difficulty was in identifying the goals. Whose goals did we mean; those of management, pupils, teachers, parents, politicians? There was also an assumption that these goals were compatible and the possibility of conflicting aims was not considered. Schools were frequently *seen as bureaucracies which operated as stable predictable* organisations with clearly defined rules and procedures that were enforced in an impartial manner. This ignored the fact that schools were more complex and less stable than at first supposed.

Schools may in fact resemble what Bell (1980) called anarchic organisations. By this he meant organisations with structures of their own partly determined by external pressure and partly a product of the nature of the organisations themselves. The relationship between goals, members and technology was not as clearly functional as was often made out. Bell (1980) pointed, in the case of schools, to unclear goals in that disagreement or uncertainty existed over what schools were for. There was unclear technology, meaning that the effects of teaching methods were open to doubt. There was also a fluid membership within the organisation which referred to the pupil and staff turnover, indicating varied involvement.

In Bell's (1980) view the traditional model of schools as a hierarchy of authority levels and departments was unsuitable as it missed more than it explained. The decision making process involved 'flight' and 'oversight' rather than overall planning. For these reasons he said that undue emphasis should not be placed on order, stability, practicability and rationality. This anarchic perspective of school life was similar to what have also been termed ambiguity models:

Ambiguity models include all those approaches that stress uncertainty and unpredictability in organisations. The emphasis is on the instability and complexity of institutional life. These theories assume that organisational objectives are problematic and that the institutions experience difficulty in ordering their priorities. Subunits are portrayed as relatively autonomous groups which are connected only loosely with one another and with the institution itself. Decision-making occurs within formal and informal settings where participation is fluid. Individuals are part-time members of policy-making groups who move in and out of

the picture according to the nature of the topic and the interests of the potential participants. Ambiguity is a prevalent feature of complex organisations such as schools and colleges and is likely to be particularly acute during periods of rapid change. (Bush, 1995, p. 111)

A number of features of ambiguity models were outlined by Bush (1995). He highlighted a lack of clarity about goals of the organisation. The goals and aims of the school were perhaps perceived differently by different members. He noted that the processes involved (in education and learning) were often not properly understood. These organisations were characterised by fragmentation and loose coupling. Thus the organisational structure was not totally clear with uncertainty over the relative power of the different parts. This was often due to the existence of many committees, managers and working parties with overlapping rights and responsibilities. Professional, client-serving organisations tended, in the view of Bush (1995), to show more of the characteristics of ambiguity. Regarding the relationship between the organisation and the external environment he said that:

The turbulence arising from the external context adds to the ambiguity of the decision-making process within the institution. (Bush, 1995, p. 115)

For many of the criteria noted and with the addition of an increasingly changing and uncertain environment, schools may exhibit many of the characteristics of ambiguous models of organisations.

In this context making decisions may not be as logical and clear cut as formal models have suggested. Just because a decision is made it does not mean that it will be carried out. Hoyle (1986) gave several reasons why certain decisions may not be implemented. In his view, the outcome of the decision may have been less important than the process of making it. The implementation may have been in the hands of people who did not share the attitudes of the decision making group. The high level of attention given to the making of a decision may not have been sustained through to its implementation or perhaps other problems absorbed the energies of the organisation as new crises had arisen.

These issues of ambiguity and 'implementation gap' are particularly important when considering the introduction of teacher appraisal. The original aims of the legislators may not be reflected in how it is carried out in the schools. There are also likely to be large variations in appraisal when comparing different schools:

The rational assumption that implementation is a straightforward element in the decision process appears to be flawed. In practice, it is just as uncertain as the process of choice. (Bush, 1995, p. 116)

Hoyle (1986) said that educational institutions operated with a mix of rational and anarchic processes. The more the internal and external environment in which the organisation operated was unpredictable, the more the ambiguity model was applicable. This is likely to be the case in respect of the introduction of appraisal into the schools involved in this study. Bacharach (1988) said that we should use a form of political analysis which examines macro influences, organisational structure and the meaning and actions of actors. It would be what Tyler (1988) saw as the pulling together of the macro and micro levels of analysis to look at schools as organisations.

Weick (1976) suggested that we regard educational institutions as loosely coupled systems in order to gain greater insight into what actually happened within them. The idea of coupled systems suggested that elements within organisations were linked but not necessarily joined. The extent to which different elements were coupled or linked varied. Thus there existed tight coupling, where there were clear procedures and a strong linking between elements, or loose coupling where there was less of a direct link between the day to day actions of one component and another. With loose coupling the components may almost have operated with autonomy. This concept of loose and tight coupling may help to explain differences between the schools in this study in the implementation of appraisal.

The term 'balkanisation' was used in this context by Hargreaves (1994). This described how teachers could develop their own variations of teacher culture within a school by dividing into tightly knit and somewhat exclusive sub-groups within the school community, such as departments, special needs units or houses.

Hoyle (1986) suggested that it was the loosely coupled nature of schools which was the basis of the micropolitical life within them. This was a reflection of organisations in which professionals worked. The head exercised authority in the running of the school but the teachers had more autonomy at the classroom level resulting from the need for them to make professional judgements.

Hoyle (1986) felt that it was this tension and countervailing power between the authority of heads and the professional autonomy and influence of the teachers which constitutes the particularity of schools as organisations. The situation was complicated by the fact that the head was also a teacher and thus also had professional influence. Busher and Saran (1994) pointed out that not only were schools professionally staffed but that they were also professionally led. These leaders in professional organisations usually shared their followers' professional culture.

The day to day running of the school and the implementation of policy depended to a great extent upon the individuals involved, according to Hoyle (1986). This varied from school to school. Personal, professional and political interests were all relevant and often presented as each other. Thus personal interests and political views were often hidden in professional statements. Many different alliances were formed for various reasons.



The relationship between the professional work of teachers and the nature of schools as organisations has always been close. Changes in how schools are managed will thus influence the nature of teacher professionalism. Conversely the nature of the teaching profession will limit or create resistance to changes in how schools are run. The system of teacher appraisal has been tied up with both the professional image of teachers and also the development of managerialism in schools.

Ball (1987) found that much organisational theory has concentrated on the macro or micro aspects at the neglect of what he called the meso level. He said that organisation theorists tended to rely on models developed in industry, evolved from systems theory which highlighted order and the views of those in administration, what he called 'top dog' theories (p5). There was he noted, a tendency to slip from analysis to prescription as theories became ideologies and legitimations. This was highlighted by the development of management theories of education which concentrated on one perspective in the running of schools. This could be seen as reflected in much of the material written for appraisal training (Jones and Mathias 1995, Fidler and Cooper 1992).

Ball (1987) saw two inadequacies in such theories, the failure to recognise the peculiar nature of schools and a lack of research into what we did not know about schools as organisations, by which he meant the micro-politics of school life. Hoyle (1986) felt that a gap existed between organisational rhetoric and way in which schools operate. He saw the need to observe and to form theories embracing the micropolitical. It could be seen as the 'organisational underworld' and included:

.....those strategies by which individuals and groups in organisational contexts seek to use their resources of power and influence to further their interests. (Hoyle, 1986, p. 256)

In a similar vein, Hargreaves (1994) found that much writing concerning schools as organisations came from what he called the 'cultural perspective' which was grounded in functionalism and corporate management. This assumed the existence of organisational cultures and commonly held values within such institutions. This point was also made by Elliott (1996) when considering the ideological underpinning of much school effectiveness research. Hargreaves felt that consensus was often over-emphasised at the expense of recognising the existence of differences and conflict. He suggested the use of the micropolitical perspective where the differences between groups became highlighted. Here the power and influence of different individuals and groups were seen as key concerns. Blase has said that:

Micropolitics is about power and how people use it to influence others and to protect themselves. It is about conflict and how people compete with each other to get what they want. It is about

cooperation and how people build support among themselves to achieve their ends. (Blase, 1991, p. 1)

Ball (1987) claimed a wide and open definition of micro-politics which he considered in terms of three key areas; the interests of the actors, the maintenance of organisational control and conflict over policy:

I take schools, in common with virtually all other social organisations, to be arenas of struggle; to be riven with actual or potential conflict between members; to be poorly co-ordinated; to be ideologically diverse. I take it to be essential that if we are to understand the nature of schools as organisations, we must achieve some understanding of these conflicts. (Ball, 1987, p. 19)

He did not see conflict as being the totality of school existence. Much of the day to day life of schools was mundane and routine and based on priorities of practical necessity. There was a 'negotiated order' which at times needed renegotiating. The macro influences on the school were seen as important and he suggested that these had increased with recent government policy. Ball (1987) pointed to:

the need to explore the different ways in which different organisations coped with and responded differently to greater intervention from outside. (Ball, 1987, p. 24)

This becomes significant when considering how schools have dealt with the introduction of compulsory teacher appraisal. Blase (1991) also saw the importance of macro forces on the school along with internal school influences:

Schools are complex, unpredictable social organisations that are extremely vulnerable to a host of powerful external and internal forces. They exist in a vortex of government mandates, social and economic pressures, and conflicting ideologies associated with school administrators, teachers, students, and parents. (Blase, 1991, p. 1)

As Ball (1994) put it when considering the implementation of government policy:

Teachers' careers, institutional micropolitics, and state power and policies are intertwined in a complex process of changes in patterns of control, relationships and values in schools. (Ball, 1994, p. 64)

Thus political theories of organisations have seen macro level factors as having significantly influenced the micropolitical character of schools. Ball and Bowe (1991) showed how the 1988 Act affected school based structures and Hargreaves (1991)

illustrated how local policy can affect relationships amongst teachers. Corbett (1991) showed how parental demands could affect a school principal who in turn influenced staff:

... these external factors can affect structures, decisions, sources of power, goals, values, purposes, strategies, and feelings. But these factors and their effects can only be understood fully within the sociopolitical and cultural context of the schools studied. (Blase, 1991, p. 241)

On the surface the macro forces may have seemed the only influences within these organisations. However, Blase said that the micropolitical activity within schools has existed and could be seen if it is looked for:

... the effects of external factors on school-based politics are quite extensive and that these political processes are frequently submerged, subtle, and covert. Hence school level politics may not be easily recognisable or easily studied. (Blase, 1991, p. 241)

To illustrate this point, Gewirtz et al. (1995) showed that what she termed post-welfarist developments have not impacted upon all schools evenly. Much in her view depended upon the location of the schools in terms of local politics, geography and the social and economic context. This was combined with the particular ideological and philosophical stances of individual headteachers and staff within the schools.

The major features of political models have been summarised by Bush (1995). He suggested that they focused on group activity and interaction between groups. They were concerned with interests and how these were pursued by individuals and groups. The goals of organisations were seen as unstable, ambiguous and contested. Bush (1995) saw this as due to the nature of different interest groups within any organisation. Decisions emerged as a result of a process of bargaining and negotiation rather than as part of a rational process.

Power, which could take many forms, was central to all political theories and was an important concept to consider when looking at micropolitics in schools. There was the power of wider macro forces on the institution. There were also many aspects to power within the institution. Bush (1995) regarded power "as the ability to determine the behaviour of others or to decide the outcome of conflict" (p79). Bush stated that political models:

assume that organisations are political arenas whose members engage in political activity in pursuit of their interests. Analysis focuses on the distribution of power and influence in organisations and on the bargaining and negotiation between interest groups. (Bush, 1995, p. 73)

In analysing power Bush (1995) distinguished between *authority*, by which he meant the legal right to make decisions and *influence*, by which he referred to an ability to affect outcomes. He outlined six forms of power relevant to schools and colleges; positional power, authority of expertise, personal power, control of rewards, coercive power and control of resources. Thus heads possessed significant though not absolute power. Hoyle (1986) in looking at school management, outlined strategies by which 'those in charge' maintained or extended their control. These involved dividing and ruling, co-opting, displacement, access to information and controlling meetings. Bargaining, manipulation and exchange were also important in establishing and developing one's position.

Hoyle (1988) believed that authority was important in formal systems but that in the micropolitical sphere, influence, which was dependent upon many factors and was not fixed, was also used. Hoyle (1988) saw heads using both authority and influence as they felt appropriate. The strategies adopted by differing members of the school would be significant in terms of how events developed and 'unfolded'. There was likely to be nobbling individuals, assuming consensus, interpreting others' opinions and other such methods employed. Blase and Anderson (1995) considered 'power over,' 'power through,' and 'power with' when they examined power relationships and school management.

In looking at subversion within organisations, Ganderton (1991) noted how micropolitical activity occurred in a number of areas within the school. Departments had been used as power bases and individuals developed strategies for neutralising structural power. Thus power was not solely in the hands of the school senior management. Ingersoll (1996) considered how the ability or not of teachers to influence decisions regarding school policy was related to levels of tension and conflict within the staff of a school. Reay (1996) argued that issues of social hierarchy and relative power were integral to any understanding of the dynamics of teacher interaction. She suggested that teachers were not simply agents but hierarchically situated actors.

In examining the development and implementation of policy from national to school level, Bowe et al (1992) noted how the process involved active interpretation and 'meaning-making' at each stage. This meant:

resistance, accommodation, subterfuge and conformity within and between arenas of practice and ..... clashes and mismatches between contending discourses at work in these arenas, e.g. professionalism vs conformity, autonomy vs constraint, specification vs latitude, the managerial vs the educational. (Bowe et al. 1992, p. 13)

This view fitted very much with the strategies which were adopted by professionals when faced with the new public management, as noted by Bottery (1996), cited in the previous section. This brings into focus the interrelationship between notions of professionalism and the way schools operate micropolitically.

Following on from the importance of authority and influence, the terms collaboration and collegiality were seen as focal points in theories of practitioner practice by Hargreaves (1994). Aspects of collaboration and collegiality have been regarded as important in terms of teacher development, school improvement and school effectiveness. They were, in this way, linked to the image of the professional teacher. Elliott (1993) suggested that teachers needed to work collaboratively to evaluate and improve their practices. He said that administratively led reviews, or hierarchically initiated and controlled reforms, attempting to change pedagogical practice, tended to be resisted.

Hargreaves (1994) noted that collegiality and collaboration have been put forward as a necessary requirement for introducing not only many school based initiatives but also for the implementation of more centralised curriculum reforms which teachers have had to 'take on board'. They are then significant from a micropolitical viewpoint.

One problem which Hargreaves (1994) identified was the difficulty in saying what collaboration and collegiality actually consisted of. They have at different times been taken to mean some or all of many different things. 'Team teaching, peer coaching, professional dialogue, joint planning, action research and informal conversations about work have all been associated with collaboration and collegiality. Hargreaves (1994) stressed that these activities were not the same. They each had differing implications for teacher autonomy, empowerment and critical reflection, which of themselves had been commonly claimed as benefits of collaboration and collegiality. Sergiovanni(1994) for instance talked of collegiality as bonding people together in special ways and binding them to shared values and ideas. This was what he saw as creating schools as communities. This confusion of ideas led Hargreaves to suggest that:

There are only different forms of collaboration and collegiality that have different consequences and serve different purposes. Moreover, those forms which are most compatible with the widely declared benefits of teacher empowerment and reflective practice are the forms that seem least common. (Hargreaves, 1994, p. 189)

He said that questions about the meaning of collaboration and collegiality led on to issues of who controlled and guided the process, in other words the micropolitics of the organisation. Hargreaves (1994) drew a clear distinction between collaborative cultures and contrived collegiality.

In collaborative cultures the working relationships evolved from the teachers themselves. Teachers worked together on initiatives they had developed, had a commitment to and perceived as important, rather than meeting to implement the purposes of others:

When they have to respond to external mandates, they do so selectively, drawing on their professional confidence and discretionary judgement as a community. (Hargreaves, 1994, p. 192)

Much of the working in collaborative culture was informal rather than through fixed meetings and reflected the way the teachers operated in the school. As teachers had discretion and control over what would be developed, the outcomes were uncertain. Hargreaves (1994) suggested that the difficulty for administrators in collaborative cultures was one of political control.

Contrived collegiality did not evolve spontaneously from teachers but was an administrative requirement to *meet and work together*. The compulsion involved may have been direct or indirect. Teachers were required or 'persuaded' to work together to implement the mandates of others. For Hargreaves (1994) cooperation was closely bound up with cooption. Though the end result could never be guaranteed, contrived collegiality was designed to be highly predictable in its outcomes. Management had control over the process and it could be seen as a "safe administrative simulation of collaboration". In the words of Hargreaves (1994) collaboration had been "captured, contained and contrived by administrators". For Blase and Anderson (1995) contrived collegiality was a subtle form of 'power over'.

In a similar way Busher and Saran (1994) distinguished between two forms of teacher participation in the decision making process. Content participation empowered teachers to take decisions in limited areas of school policy making. In process participation, teachers were invited to comment on the proposals laid before them by the head or senior management team.

Thus the concepts of collegiality and contrived collegiality have been seen as important aspects of micropolitics in schools. They are likely to have particular relevance in the introduction of appraisal and to how teachers at different levels in the school perceive it. Appraisal is an externally imposed process which the school management has to implement for all teachers.

The appraisal process has been presented to staff as an aspect of collegiality and professional development in documentation which surrounded the legislation (Circular 12/91, ACAS report 1986, the National Steering Group Report 1989). However the implementation of such a controversial innovation may have owed more to contrived collegiality and process participation. It should be noted that the statutory orders (1991) also stated that appraisal was designed to help in the management of the school. This can be seen as counter to 'true' collaborative cultures.

Thus, within any school, teachers (and also pupils) have acted in many different ways to achieve their goals. These actions may have been officially regarded as legitimate

or not but all possessed a rational purpose to those initiating them, even if often lost in day to day activity:

... it is evident that political actors tend to use formal and informal as well as overt and covert strategies to achieve their ends..... there is a tendency for such politics to be obscured by organisational routines and procedures. (Blase, 1991, p. 245)

For Blase and Anderson (1995) the micropolitical perspective emphasised what they termed the dialectical, interactive, multidirectional, strategic, conflictive, ideological and interpretive/perceptual aspects of organisations as they have related to the use of power. Bosetti and O'Reilly (1996) *pointed out that fragmentation of policy has allowed* administrators and teachers to appropriate these policies, such as teacher evaluation, for different purposes than were 'officially' intended. Thus practitioners have not been naive readers of policy. They have used their own history, experience, values and meanings to interpret it.

Hoyle (1986) mentioned how exchange theory may help to explain the nature of much interaction between individuals. Ganderton (1991), in discussing the concept of exchange, included the examples of doing favours for future political advantage and the importance of information gained through mutual support. Busher and Saran (1994) suggested that coalition building was done through a process of negotiation, facilitated by social exchange.

In order to further their own interests, members of the organisation will act in appropriate ways and interpret the actions of others accordingly. It is as though people try to create certain impressions of themselves to others and manipulate different situations accordingly. This dramaturgical approach to life in institutions was used by Goffman (1971) to explain behaviour in certain social settings. The interaction process was influenced by concepts of self and self image, labelling and stereotyping as shown in the work of Becker (1968), Lemert (1967) and Cicourel (1976).

The process of interaction affects members of organisations in different ways and influences decisions about how to act in consideration of the 'drama'. The interaction process by which members of the organisation 'play out' their lives is constantly being redefined. This was clearly shown by Clandinin and Connelly (1996) when examining how the professional images of individual teachers are dependant upon their position in the school hierarchy and also on their relationships with other members of staff. As with other aspects of the micropolitical analysis, the power of individuals plays an important part. In Smyth's (1996) view schools are places:

that are highly politicised, and where forms of knowledge, culture, curriculum, pedagogy, administration and evaluation are

continually being contested, confronted, resisted and, at least to some degree, re-constructed. (Smyth, 1996, p. 187)

In examining schools as organisations certain significant factors have emerged. The ambiguous nature of school organisation has been a result of the lack of clarity about the aims of education and also about how to achieve these aims. The ambiguity is said to be heightened during rapid external change. This may have been the case in the field of education in the 1980s and 1990s.

Teachers' work has traditionally exhibited a significant degree of autonomy within the classroom. This individual freedom to make decisions based upon their own expertise has been typical of organisations made up of professional workers. Working individually or in small departments which involve certain specialisms creates a tendency for structural 'looseness' between different parts of the organisation.

Schools operate in differing environments and thus the degree of 'loose' or 'tight' coupling varies from institution to institution. The interaction between external and internal factors in the running of these organisations means that a micropolitical analysis, which examines how different 'groups' operate to achieve their ends may be most appropriate. Power and how it is used has always been an important aspect of micropolitical life in schools.

Certain specific pressures needed to be taken into account when looking at schools in the context of the above points. The policy of market forces along with other aspects of national legislation may have changed the nature of management in schools. This developing managerialism may have constrained teacher autonomy and altered the nature of teacher professionalism. These changes can be seen as attempts to control the 'loose' coupling traditionally associated with the way schools have operated. External pressures are reflected in the micropolitical life of schools where teachers may have exhibited resistance to 'tighter' coupling.

Teacher appraisal has been legally imposed upon schools. It may be being used to enhance the development of management control or to increase the professionalism of teachers. Thus appraisal is linked very much to differing images of collegiality. As each school operates in a different environment, how appraisal is implemented and the effects of it are likely to be closely linked to the micropolitics of each school and how the teachers within react, as individuals and groups, to change.

Having considered the nature of teachers' work and schools as organisations it is now appropriate to consider literature regarding the actual process of appraisal.



### **iii. Appraisal Literature.**

The literature on teacher appraisal is examined in four parts. The first part considers the purposes of appraisal, the second part looks at the history of the introduction of teacher appraisal, the third part outlines the legislation on teacher appraisal and the fourth part considers evaluations which have taken place of teacher appraisal so far.

#### **a. Purposes of Teacher Appraisal.**

Within the literature there can be found many possible reasons for introducing teacher appraisal: Appraisal may be seen as a means of increasing the accountability of public employees. It may be seen as a mechanism for developing the skills of teachers and thus enhancing their professionalism. It may also be considered a rich source of information enabling the managements to manage more effectively. These reasons coexist in the literature discussing appraisal, yet there may also be tensions between them.

Education is an expensive activity in any society with a developed economy. As Wragg (1987) noted:

In any activity involving huge sums of public money there is likely to be a need for accountability, especially in times of financial stringency.... How people define and apply appraisal will depend upon their own attitudes and values. It may be seen as a way of 'smoking out' the incompetent, personal development, a value for money exercise comparing teacher with teacher or other educational hardware. (Wragg, 1987, p. 1)

Thus there may have been many reasons for the developing of systems of appraisal. Mortimore & Mortimore (1991) suggested that definitions have tended to reflect the different purposes appraisal was intended to serve. In their view teacher appraisal ought to have an impact on the quality of student learning as well as on the organisational skills, planning and teamwork of the school staff. They criticised the Advisory, Conciliation and Arbitration Service (ACAS) definition for not giving explicit reference to improvements in pupils' learning and development.

They looked at several appraisal systems operating in firms outside education. These tended to be more utilitarian, with the emphasis on benefit to the organisation. Mortimore and Mortimore (1991) noted that appraisal in these organisations was considered a normal way of managing staff and that the daily work undertaken by the appraisees was generably observable, produced tangible, finite results and was carried out in the public domain. This was in sharp contrast to the work of teachers and perhaps highlighted the dangers of taking models of appraisal based on one form of work and applying them in different circumstances.

Others have also noted how the work of teachers differs from those working in industry. Bell (1988) and Goddard & Emerson (1992) pointed out that performance appraisal of teachers is different from the process applied in industry in that it involves observation of the teacher actually at work. This could be unnerving and threatening. In industry the work process was often more open and the finished product could be judged. This is not the case in teaching. The daily work of the teacher is not usually observed by other adults. The aims and outcomes of teaching are much more open to question. As Wragg (1987) noted, one of the problems of appraising teachers is in deciding what constitutes good practice. This lies very much at the heart of professional judgement.

Bell (1988) saw a number of meanings attached to staff appraisal which exerted considerable influence over staff attitudes. These consisted of identifying incompetent teachers, improving pay and promotion, external accountability, improving teacher performance, effective management of teachers and professional development. It is not a simple concept and these many meanings behind appraisal were not considered compatible by Bell (1988). He suggested that teachers' responses would depend upon their perceptions of its purposes and whether it was seen as formative or summative. The summative elements (pay, promotion, improving performance) would generate opposition whereas the formative, relating to career and professional development, would promote cooperation.

Darling-Hammond (1989) said that many previous systems of teacher evaluation have tended to be bureaucratic and centred on the use of tick charts which assumed didactic practice. They did not take account of variations in teaching or ask about what was more effective in different situations. They have in the past often been carried out by rushed heads which added to the bureaucratic nature of the exercise. They had really been carried out in the name of accountability. She suggested that an approach which involved peers in various aspects of teacher evaluation (perhaps mentors) would actually serve to question and improve practice and enhance the professionalism of teachers. This approach thus embraced the extended professional concept (Hoyle 1980) rather than a managerialist approach.

Winter (1989) saw conflict built into the aims of appraisal. The process was often proposed in order to assist career development and also to identify those whose performance was below par. Thus the threat of appraisal was likely to overshadow any possible opportunities. He said that if the process did not allay the sense of threat then it would lead to anxiety, resentment, cynicism and anger. Winter (1989) said that appraisal would operate on teachers in a similar way that teachers' assessments of pupils did on them. Rather than being developmental it could be seen by teachers as a means of control over them. Like homework was for many pupils, appraisal would become an ineffective ritual for teachers.

Winter (1989) outlined a product and a process model of appraisal. The product model aimed to generate accurate information which could then improve professional

standards through recommendations on promotion, help or training. In his view the Department of Education and Science (DES) was a bureaucracy whose function was to enable the wishes of politicians to be carried out. It was concerned with responsibility for public spending, gathering information upwards to pass policy decisions downwards. Thus it was hierarchical. An appraisal system developed with the wishes of the DES in mind would be a product model, generating accurate and concrete information which could be used in management decision making.

However, Winter (1989) felt that professional workers such as teachers, had a responsibility for clients rather than authority. They needed to use their specialist knowledge based upon their judgement in each case. They were continually learning and developing through professional practice. This process could be inhibited by feelings of lack of control. He suggested that a process model encouraged the development of the professional. The process model rather than the product model was what benefited the individual teacher in his or her practice. In proposing this model, Winter was considering the teacher as reflective practitioner and he suggested that forms of action research would be an appropriate means by which to gather information.

He did see the contradiction of a bureaucracy presiding over a profession. The administration in this case, had to consider the professional development perspectives of the employees. Teachers as professional workers operating in a bureaucracy would always have fears of regulation and accountability.

No one scheme of appraisal could operate both as a product and as a process model. Thus in Winter's (1989) view the purpose of appraisal needed to be clear. The product model assessed the teacher using information gathered in an objective fashion in order to make legitimate management decisions. This model would reflect increasing managerialism and a need for information (Ozga 1995b, Bottery 1996, Reay 1996). The process model was developmental and involved the collaboration of fellow professionals who were continually developing and learning (Schon 1983, Hoyle 1980).

How different occupations were evaluated was considered by House & Lapin (1989). They suggested that unskilled labour was checked by direct inspection and constant monitoring. Craft work was monitored by indirect inspection and periodic checking. Professional work as it was dependent upon the judgement of the professional was evaluated by peers and professional bodies. Thus how teacher appraisal was carried out depended upon how the occupation of teaching was viewed. This could have been as a profession whose members appraised themselves or more like a craft, judged by 'outsiders'. In this way teachers could perhaps be placed in the category termed semi-professionals by Etzioni (1969).

Burgess (1989) said that the social and political context of English education in the 1980s provided the conditions to put appraisal on the agenda. The question of why do it he saw answered by the DES in managerial accounts. How to do it was answered in a series of

statements about interviews and observations. Burgess (1989) saw qualitative research methodology being used for management purposes with little awareness of the skills required.

Though publicly appraisal could be seen simply in terms of teachers' contractual obligations and the weeding out of failing teachers, Burgess (1989) noted the numerous problems in both defining and measuring teacher performance. He suggested that careful attention needed to be given to the reasons for and the criteria used in such measurement in discussions of teacher appraisal.

Burgess (1989) considered that the white papers Teaching Quality (1983) and Better Schools (1985) took a management view of the purposes of appraisal. It was to be conducted by superiors making supposedly 'qualitative judgements' based on reliable data. He then considered the Suffolk County Council appraisal report (Those Having Torches 1985) which was to later inform the government legislation and guidance. This looked at the process of appraisal which involved target setting, classroom observation and appraisal dialogue. It talked about effective teaching but did not define it. It also considered how to rectify the performance of teachers falling below par. Once again, according to Burgess (1989), a management perspective was used which assumed an understanding of what 'below par' meant. The report went on to describe appraisal skills and the process of appraisal with no regard to what qualitative methodology involved and the theoretical, political, ethical and moral questions behind the process. It was in effect:

.... importing the male dominated hierarchical power structure that is currently in existence in schools into the system of teacher appraisal. (Burgess, 1989, p. 31)

Accepting the importance of power relations, Burgess (1989) suggested a collegial approach to appraisal based on action research. Here colleagues would examine their own practice. This would be non-hierarchical, non-judgemental, research-based and more democratic. The problem or issue to be examined would be clearly specified and methodology developed to examine the problem. The data generated would belong to the teachers themselves. Control of the data and the whole process would be in the hands of those involved.

This was an argument for an appraisal system of professionals using a peer based approach. It was contrary to the approach favoured by the government which drew upon the recommendations of Those Having Torches (1985) and the National Steering Group Report (1990). These both favoured a 'top down approach'. This line management system also argued a need to link appraisal with other school management processes to make it more effective from a whole school point of view. It was this management view which Burgess (1989) saw as threatening to many teachers in terms of their professional standing.

This view once again illustrates the dichotomous relationship within models of appraisal between management control and reflective practice.

Evans & Tomlinson (1989) noted that there were differing and contradictory origins of demands for the introduction of teacher appraisal. They pointed to three principles that needed to be clearly identified in appraisal, these being purpose, control of data and reciprocity. Evans and Tomlinson (1989) said that there was an irreconcilable conflict between a scheme based on accountability and one based on professional development. An accountability scheme assessed performance to make decisions about dismissal, promotion or pay. A professional development scheme looked at a process of developing the skills and career prospects of the teacher, leading to improvements at the institutional level. The professional model depended upon openness and frankness in a two way process. It needed an atmosphere of trust and confidentiality. The accountability model militated against this. As Smyth (1996) pointed out, it may have suited politicians and policy makers to give enlightened reasons such as the promotion of professional development and the growth of teachers for introducing teacher evaluation. That was, however, a long step from having something which was owned by teachers and which they found professionally useful and satisfying.

In looking at ambiguities surrounding teacher appraisal, Elliott (1991) noted that controversy had centred around the purposes of appraisal rather than the idea itself. Teachers looked to professional development with a high degree of personal control over the documentation. Governmental concerns were with management and deployment (redeployment) of the teaching force which also involved such things as merit pay and identifying training needs.

Elliott (1991) saw the recommendations of Those Having Torches (1985) as a form of control and restriction on the teacher by the line manager. The appraisee was forced to concentrate on the set agenda of their own targets. These had been written from an instrumental, technical standpoint on teaching, rather than from a perspective which sees teaching as a wider moral activity. The ideologies of teaching were assumed not to exist. Looking at techniques had the effect of deprofessionalising teachers and casting them as technicians. It attacked the professional culture by isolating teachers and putting their performance under the direct surveillance of line managers. The teacher became a marketable commodity. The process of appraisal suggested in the legislation and the guidance technologised teaching and hierarchically controlled teachers' conceptions of their practice, according to Elliott (1991).

Again, the introduction of teacher appraisal could be presented as part of the change in the professional nature of teaching and the growth in the control of both management and the state:

Teacher-appraisal schemes which construct an ideology of teaching also construct an ideology of school management which legitimates it as an agency of state control. (Elliott, 1991, p. 106)

This 'top down' approach came out of national agreements whilst other ideas, of self and peer-evaluation, were also being developed. Elliott (1991) noted that these did not seem to play a major part in new appraisal schemes. Consequently: "The use of appraisal as a management tool seems to be an immovable force" (Elliott, 1991, p. 106).

In an attempt to promote the professional nature of teaching, he saw a counter-hegemonic approach possible through a two tier system of appraisal. This allowed forms of peer evaluation and appraisal through action research which passed 'upwards' for formal appraisal the written reports it produced. Discussion could take place between the levels. It allowed teacher professional development and control over the process. Administrators could use the results to act and plan and create an unthreatening report.

Once again the conflict over the purposes and structure of appraisal was noted. It had been proposed by Elliott (1991) that a system could be based on collegiality and professional reflection which also gave information to managers. The question remained as to whether this would fulfill all the wishes of management in terms of what they would want to use appraisal for.

Goddard and Emerson (1992) considered two polar models of appraisal: the staff development model, which supported teachers in doing their job, and the accountability model, which checked that teachers were doing their job properly. These models elicited opposing attitudes from teachers. Goddard and Emerson (1992) pointed to the danger of a hybrid scheme resulting from the amalgamation of the two which would be viewed with confusion and suspicion. They noted that the statutory scheme seemed to be built upon a staff development foundation but to incorporate accountability features.

The staff development model assumed that all teachers could improve and was an aid to this end. Features of this model according to Goddard and Emerson (1992) were that it celebrated what the teacher was doing well, identified areas where they may be able to improve and thus assisted staff development. By integrating the needs of the school and the individual teacher appraisal highlighted areas of mutual interest. This could lead to the support and in-service training which the teacher required in order to progress. Ultimately appraisal provided a basis for school audit and review. Professional feedback by peers generated during this process could be very supportive and lead to examination of what teachers do in an unthreatening and constructive way.

The accountability model as identified by Goddard and Emerson (1992) identified incompetent teachers and weaknesses in a teacher's performance. One purpose of appraisal via this model was to assess performance for pay and promotion. It could also provide evidence for any disciplinary procedures. Goddard and Emerson (1992) felt that schools

showed poor management if they relied on this process to identify problems of a disciplinary nature. Appraisal used in this way was likely to prevent openness and cause divisions amongst staff.

Essentially then the staff development model promoted trust, confidentiality and frankness with a view to the development of practice. The accountability model led to defensiveness and a desire to protect one's position. Goddard and Emerson (1992) argued that the two models were not, in practice, compatible. They suggested that the statutory system stressed professional development but could also be used in relation to performance related pay. If this was the case appraisal would not be treated in an open and honest manner by staff involved. Appraisal would have made teachers feel vulnerable:

.....it could be at this point that professional development first loses out to accountability. (Goddard and Emerson, 1992, p. 19)

Looking at the Canadian experience of teacher evaluation, Clandinin et al. (1996) found that in the teacher's view, whilst much of the rhetoric of teacher evaluation suggested that accountability and growth go together, the process appeared to separate them.

Mortimore and Mortimore (1991) noted that in the established professions there was a tradition of supervision by senior colleagues rather than appraisal. They also pointed out that, whilst still formally unrelated to financial rewards, the system of teacher appraisal was now closer to the industrial model of evaluation of performance than to the supervisory tradition of the professions.

Recognising the differences between teachers and industry, Mortimore and Mortimore (1991) saw the introduction of appraisal as benefiting all concerned in education. Teachers would have the opportunity to discuss their careers and receive feedback on their progress. Heads would have a formal mechanism enabling them to manage their most important resource. There would be a quality assurance procedure which would target in-service budgets more accurately. Ultimately they saw parents and pupils as benefiting from more reflective teachers.

In contrast to earlier analyses, Mortimore and Mortimore (1991) assumed that education could benefit from an industrial model. They believed that all those with an interest in schools would find the process useful. They suggested that the careful and sensitive introduction of appraisal would help overcome any ideological conflicts. With this in mind the purposes of appraisal become obscured by a preoccupation with practical imperatives. Such preoccupation illustrates perhaps the growth of managerial concerns identified earlier (Ball 1994, Hoyle 1995, Ozga 1995b, Bottery 1996).

Humphreys (1992) pointed to a long history of appraisal and the conflicts which were involved:

The reasons for wishing to evaluate the performance of teachers have varied from personal desires for professional development to a state's desire to pay teachers according to the results of their teaching. (Humphreys, 1992, p. 115)

He suggested that when appraisal was seen as a way of managing staff it ignored the less tangible private world of the teacher in the classroom. Many of the appraisal schemes that had emerged seemed to use manager control to question the contribution that teachers made to the quality of pupils' education.

Whilst recognising that improvement of quality in education would occur as a result of pressure from different sources and that top down appraisal and performance indicators had a value to politicians and managers, Humphreys (1992) said that there was also a need to empower teachers to take control of their own professional development. Teachers needed support to enable them to do this. He suggested that if teachers were not involved in the development of quality there was a danger that change became symbolic rather than real. Thus by suggesting the involvement of staff and the importance of management direction, Humphreys (1992) may have been promoting a process of contrived collegiality as identified by Hargreaves (1994). In a later paper Humphreys and Thompson (1995) considered a system of collective self appraisal. This was underpinned by a belief that teachers could be professionally responsible as well as being publicly accountable. Once again then they were calling for a collegiate and professional approach.

According to Fidler and Cooper (1992) staff appraisal needed to carry credibility with the public as a check on the quality of work in schools and colleges. It should lead to improvements in the learning experiences of pupils and students. This would in turn develop greater job satisfaction of all those who worked in schools and colleges. They located staff appraisal within the process of staff management. Appraisal of staff was by those with management responsibility. Targets and development for the teacher should fit into and meet the needs of the school. In other words there needed to be mutual support between appraisal and development planning:

.... industrial and other non-educational experience which see appraisal as part of the managerial process of the institution offers a model which is positive and developmental and actually could lead to improvements in the education of children and young people. (Fidler and Cooper, 1992, p. xi)

They noted the conflicts of a process which was both evaluative and developmental and also sought to balance individual needs with those of the organisation. They suggested that managements were in the best position to implement and make use of appraisal due to their overview and concern for the whole organisation. In taking this approach, Fidler and Cooper (1992) assumed the right of management to manage and the duty of professionals to



cooperate. The authors were then able to concentrate on the means by which management could best implement this appraisal system. Fidler (1995) explained the stages of the appraisal process from the management perspective. Once again he started from the premise that the manager was responsible for the performance of the staff they managed. The aim was therefore to design the most suitable appraisal system.

Jones (1993) said that the history of appraisal was chequered because of factors such as an inability of policy makers and educationalists to agree on its purposes. He saw a tension over whether it was for professional development or accountability and whether it should be linked to pay or dismissal. Jones (1993) saw appraisal as part of a process for extending the professional skills of teachers and the improvement of schools and was thus something which concerned us all:

There seems to be a cautious optimism in schools that appraisal, far from being the crude assessment of standards once feared by teachers, will in fact help bring about the development of professional skills and knowledge. (Jones, 1993, p. 1)

He did see a need for legal enforcement because appraisal was not carried out everywhere. Teachers in Jones' (1993) view were entitled to a formal appraisal which focused on achievable targets in the light of feedback. The assumption behind the views of Jones was that the effective management of staff appraisal was the key to the process. Thus once again the integrity and right to manage of the managers was taken for granted. It was believed that sensitive managers could overcome the ideological conflicts of the process. Ultimately he suggested that staff would benefit. He then concentrated on the way managers could introduce and develop appraisal effectively. Here again the development of management and management ideology could be seen through the literature on appraisal.

Many other texts concentrated on the actual strategies involved in the introduction of appraisal. The various stages in the process were examined which lead on to general staff development and school development planning. (Trethowan 1991, Jones and Mathias 1995, Horne and Pierce 1996). These texts, by assuming the conflicts inherent in appraisal could be overcome by careful and sensitive management, reinforced the image of legitimate management control. As Elliott (1996) has indicated this approach has drawn very much on school effectiveness research. The concern of such research was with a range of performance indicators based on a particular view of the purposes of education. Elliott (1996) considered that a wider perspective on the meaning of education was needed along with a more collegiate approach.

It has thus far been assumed that all management theories have proposed appraisal. This has not necessarily been the case. The desire for performance appraisal was by no means acceptable to all in industry. Deming (1986) condemned performance appraisal

as it focused on individuals rather than teams. This view was further expanded upon by Neave (1990) and the British Deming Association (1992)

Deming (1986) saw individual or even departmental targets, which were often built into appraisals, as destructive of teamwork within or between departments. Formal appraisal procedures would reinforce the reluctance of some managers to engage in open, regular dialogue with individuals. If appraisal was in any way pay related it would destroy the appraisees' pride in their work and individual creativity. Deming (1986) said that any need for appraisal assumed that individuals were not already motivated to do a 'good job' and that the power to alter things was in the hands of the appraisees themselves rather than built into the system.

The Total Quality Management (TQM) approach was further expanded by Scholtes (1995) who argued that performance appraisal by dealing with individuals actually destroyed team work, damaged systems, demotivated workers and ultimately, by encouraging employees to distort their actual experiences, got in the way of true improvement. Scholtes (1995) suggested that a process of debundling of appraisal should take place. By this he meant that the many purposes for setting up appraisal systems should each be focused upon separately. In this way it would be possible to find effective individual solutions rather than hoping that the one process could deal with them all. He suggested that rather than motivating workers, appraisal had merely signified how managers mistrusted their employees.

It was suggested by the British Deming Association (1992) that appraisal systems may have appeared more successful than they actually were. It may be because this was the only time when individuals sat down with their managers. This was particularly the case when a system had just been introduced. Good managers often made the best of a bad system and thus the process became as painless as possible for the appraisees. Deming (1986) and Scholtes (1995) both argued that most of the information which appraisal was supposed to supply could be obtained from other sources.

The TQM approach would be to abandon appraisal as it tended to demotivate, isolate and blame individuals. Fletcher (1993) noted how there had been varied success with the 'traditional' forms of appraisal in industry. Due to a change in how many work organisations were run, he suggested that we were seeing the steady demise of the traditional, monolithic appraisal system. He saw the evolution of a number of separate but linked processes which were applied in different ways according to circumstances. Fletcher (1993) suggested that perhaps the term appraisal had in some ways outlived its usefulness.

Thus appraisal may be used for different purposes. There has been debate over whether any appraisal system is able to fulfill all of the conflicting aims. Appraisal may help to develop the professional status of teachers through reflective practice (Schon 1983) and the promoting of collaborative cultures. It may support their claim as interdependent or collaborative professionals (Ribbins 1988, Avis 1994). Appraisal may be used as a means of

monitoring of the work process thus reinforcing the semi-professional status of teachers (Etzioni 1969). The collegiality itself may be contrived (Hargreaves 1994, Blase and Anderson 1995) and appraisal may result in greater control over the work of teachers as part of the process of proletarianisation and intensification (Apple 1988). This may show a change in the management of legitimated professionals in the public sector (Grace 1987) and the growth of managerialism (Ozga 1995, Bottery 1996, Hoyle 1995, Gewirtz 1996). In the light of these issues the history of the introduction of appraisal in teaching is now considered.

### **b. The History of Teacher Appraisal.**

The various pressures that led to the introduction of appraisal have been identified by Bollington, Hopkins and West (1990) as a response to the desire for more accountability of public services, a culmination of a series of moves designed to improve the professional development of teachers and part of attempts to develop the management of schools. They admitted that there has been tension between these various pressures but argued:

....that a properly constructed and managed professional appraisal scheme can enhance the development of teachers and, at the same time, provide reassurance to the general public that measures are in hand to improve the quality of education. (Bollington, Hopkins, West 1990, p. 2)

It may have been the case that due to the conflicting nature of these aims a compromise system of appraisal has been developed which fails to satisfy any.

Bell (1988) pointed out that for most of the twentieth century, teaching within each school had been left to the discretion of the individual head teacher. Any formal assessment of performance was problematic as the ethic of legitimated professionalism had developed based on teacher autonomy. Self-evaluation and self-regulation by teachers were assumed to take place though, as Bell (1988) indicated, what was meant by being a 'good professional' was by no means clear cut.

Though the Black Papers of the late 1960s were likely to have been of at least some significance, many cite Callaghan's Ruskin speech in 1976 as the first stage in the development of teacher appraisal with its call for higher standards and the accountability of teachers for the deficiencies of the curriculum (Poster & Poster 1993, Evans & Tomlinson 1989, Goddard & Emerson 1992). Up to this point teachers had, since 1944, been relatively autonomous in their position. Their professional status had in fact improved according to Tropp (1957).

In his speech, Callaghan spoke of his concerns regarding the curriculum and teaching methods. He called for key issues to be widely debated and not just left for those

involved in education to decide alone. Thus teachers would need to become more accountable. Chitty (1989) cited the economic crisis of 1973-75, employers' criticisms of secondary schooling and a media campaign against comprehensives as factors which led up to the Ruskin speech and the call for a 'great debate'. The William Tyndale affair, which centred around criticisms of 'progressive' primary school teaching, caused a national scandal and was also significant in influencing public disquiet and feelings against teachers (Dale 1979). The pressure on teachers, which was strengthened by Callaghan's speech, continued with the change to a Conservative administration. After 1976 greater influence started to be exerted from the centre (Goddard and Emerson, 1992).

Bell (1988) argued that the accountability movement and the pressure for formal appraisal could be seen as a challenge to the claim for autonomy by the teaching profession, an attempt to assert the rights of non-professionals. The barrier of professionalism and its use as a protective strategy also made it difficult to manage the teaching force 'effectively' when this was increasingly being seen as an important issue. These can be seen as the early stages in what Bell (1988) called the Government's managerialist strategy for developing the statutory phase of schooling:

The movement towards the appraisal of teacher performance is only one part of what seems to be a set of strategies for changing the nature of education provided in our schools. (Bell, 1988, p. 5)

The appraisal movement should not be seen on its own but within a wider context of change in education. Such issues as changes in the balance of power, concerns with standards and tradition, the introduction of the market and industrial model were all part of the wider scene. Bell (1988) pointed out that these did pull in different directions and so contradictions were found in the meanings attached to appraisal and whether or not it was appropriate to schools.

Evans & Tomlinson (1989) said that growing interest in teacher appraisal should not just be seen as based on a call for greater accountability and control of schools. It may also be linked to the growth of the school improvement movement. Whole school approaches have developed involving the professional extension of teachers who became self-critical, self-developing, optimistic for change. Callaghan's (1976) speech can be said to have led to the further development of both of these stances: the political criticism of schools and the desire to make schools more effective. This was a shift in emphasis after much theory of the 1960s and 1970s had suggested that educational outcomes were the result of non educational factors such as class and social background or that schools merely reflected and reinforced wider social forces (see Jencks 1973, Bowles & Gintis 1973).

Appraisal in schools was first raised in Education in Schools: A Consultative Document (Green Paper) 1977. Turner & Clift (1988) said that after the general election of 1979 the administration moved towards increasing the accountability of the education

service. Progressive education (linked with permissive and socialist) was seen to have led to sloppy-mindedness which undermined the economic life of the country. Reviewing 1970 to 1980 they said:

There had been a change in the popular mood over the decade, from one of a general lack of anxiety over the quality of education provided by the State, to a mood in which schools were suspected of being inefficient and ineffective institutions and teachers in general suspected of being lazy or incompetent, or both. (Turner & Clift, 1988, p. 17)

Much of the government policy which followed from the election of the Conservatives at this time may be explained in terms of the New Right and the different factions which made it up (see Chitty 1989, 1992b, Lawton 1992, 1994).

Inspection was expensive and schools were encouraged to review and evaluate themselves; a process which could be viewed with suspicion by those critical of teachers. By the early 1980s schools and LEAs were experimenting with their own schemes of self evaluation (Goddard and Emerson 1992, Poster and Poster 1993). This was acknowledged in the 1983 white paper: *Teaching Quality*, which looked at the training and development of teachers. This white paper whilst talking of the need for schools and LEAs to manage staff, must also be viewed in the context of the falling rolls of the time, the criticisms which had been made about standards of teaching and the political desire for increasing accountability and control of teachers:

In the schools the teacher force .... is the major single determinant of the quality of education. The supply, initial training, appointment and subsequent career development and deployment of school teachers are of vital concern to the Government and to the nation. (*Teaching Quality*, 1983, paragraph 1)

In the Government's view the salary structure should be designed to offer relatively greater rewards to the best classroom teachers as well as to encourage good teachers to seek wider responsibilities in senior posts. (*Teaching Quality*, 1983, paragraph 90)

Thus a link was made between salary scales as a means of promoting commitment and high standards of performance. After welcoming moves towards self-assessment by schools and teachers the white paper went on to say:

But employers can manage their teacher force effectively only if they have accurate knowledge of each teacher's performance. The Government believes that for this purpose formal assessment of teacher performance is necessary and should be based on classroom visiting by the teacher's head or head of department, and an appraisal of both pupils' work and of the teacher's contribution to the life of the school..... The Government believes that those

responsible for managing the school teacher force have a clear responsibility to establish, in consultation with their teachers, a policy for staff deployment and training based on a systematic assessment of every teacher's performance and related to their policy for the school curriculum. (Teaching Quality, 1983, paragraph 92)

Questions concerning standards of performance and dismissal were raised in earlier parts of the White Paper. At a time of decreasing pupil numbers this was likely to cause worry amongst teachers. How, and against what, they would be assessed became a major concern alongside the possibility that this was a way of reducing the size of the workforce. In fact, there already existed a means of dismissal on competence grounds as Poster and Poster (1993) pointed out.

Sir Keith Joseph, January 1984 in a North of England Education Conference speech talked of work in the area of teacher assessment and schemes of collective self-assessment within schools and also of teacher dismissal:

I attach particular importance to the interesting and innovative work that is going on in the area of teacher assessment, I believe that every LEA should have accurate information about each of its teachers, vital for career development and that information should involve an assessment of performance based on classroom visiting, and appraisal of pupils' work and the teachers' contribution to the life of the school. I welcome the willingness of LEAs and teachers to grapple seriously with these difficult problems. (Sir Keith Joseph 1984, North of England Conference Speech, extract from Turner and Clift, 1988, p. 18)

He also said, commenting on those teachers whose performance he assumed could not be raised to an "acceptable" standard:

This is a matter of importance and public concern because of the damage done to the education of some pupils. The aim should be to remove such teachers from a profession where they can do so much harm. (extract from Turner and Clift, 1988, p.18)

Thus Joseph was seeing appraisal performing the task of assessment, which in this case may be regarded as judgmental and summative. Appraisal was also supposed to be developmental and formative. According to Poster and Poster (1993) these terms signify differences in intention and in the fundamental purposes of appraisal. Trying to link such conflicting purposes in one process was always likely to lead to mistrust. This was pointed out in the previous section when looking at models of appraisal (Winter 1989, Burgess 1989, Evans and Tomlinson 1989, Elliott 1991.)

Better Schools (1985) considered the performance of the education system of England and Wales. Whilst acknowledging achievements, it outlined improvements

considered necessary to raise standards and improve the returns on the investment in the nation's future. Chapter five looked at teaching quality. It considered the professional nature of teaching, what this involved and what teachers needed to be able to do:

The employment of sufficient teachers fosters, but does not guarantee, quality in teaching. There is much excellent teaching in maintained schools. Nevertheless, the Government's view, reached in the light of reports by HMI, is that a significant number of teachers are performing at a standard below that required to achieve the objectives now proposed for the schools. (Better Schools, 1985, paragraph 158)

These findings have, it seems, always been with us. The terminology of 'Teaching Quality', the earlier white paper, was modified slightly in paragraph 180 of Better Schools:

The Government holds to the view expressed in 'Teaching Quality' that the regular and formal appraisal of the performance of all teachers is necessary if LEAs are to have the reliable, comprehensive and up-to-date information necessary for the systematic and effective provision of professional support and development and the deployment of staff to best advantage. Only if this information relates to performance in post can LEA management make decisions affecting the career development of its teachers fairly and consistently. (Better Schools, 1985, paragraph 180)

The paragraph went on to talk about improved deployment and distribution of talent within the teaching force resulting from the introduction of appraisal. Teachers would, it seemed, reach their full professional potential by developing strengths and improving upon weaknesses. The most promising would be identified for promotion and those with difficulties given appropriate guidance and counselling perhaps leading to early retirement or dismissal. The rhetoric hid what many saw as the government's real view which was a mistrust of teachers. Goddard & Emerson (1992) suspected that Sir Keith Joseph's concern for weeding out incompetent teachers was not far from the surface:

The government welcomes the sustained efforts made by many parties to negotiate a new salary structure for primary and secondary teachers, embracing new pay scales, a new contractual definition of teachers' duties and responsibilities and the introduction of systematic performance appraisal, designed to bring about a better relationship between pay, responsibilities and performance, especially teaching performance in the classroom. The appraisal of teacher performance has been widely seen as the key instrument for managing this relationship, with teachers' professional career development assisted, and salary progression largely determined by, reference to periodic assessment of performance. (Better Schools, 1985, paragraph 181)

Thus a greater role was perceived for management. Once again there was the assumption that it was possible to link pay with performance either as a reward for past work or perhaps as an incentive for the future. It was also perhaps taken for granted that performance could be assessed. The whole nature of teaching and the professional judgements involved were treated in an unproblematic manner. The teacher was perhaps seen as a technician who was up to the task or not. Paragraphs 182 & 183 talked about a national framework, possibly statutory regulations:

.... the Government believes that the introduction of systematic arrangements for the appraisal of teacher performance, to underpin the improved arrangements for in-service training..... and the management of the teacher force, is essential. (Better Schools, 1985, paragraph 182)

The Government believes that consistent arrangements across all LEA areas within a single national framework are needed for a teaching force with a tradition of movement within and across LEA boundaries. This could be achieved through an agreement between the authorities and the teachers' associations. The Government believes, however, that it may prove desirable or even necessary to provide that national framework in the form of statutory regulations, as is already the case for the probation of new teachers. It is proposed therefore that the Secretary of State's existing powers for regulating the employment of teachers should be extended to enable him, in appropriate circumstances, to require LEAs regularly to appraise performance of their teachers. (Better Schools, 1985, paragraph 183)

In order to introduce a nationally consistent system which would improve teaching in all schools, it now seemed necessary to increase the powers of the Secretary of State. By doing this the professional freedom of teachers would be automatically reduced. Goddard & Emerson (1992) noted that for teachers the positive benefits of appraisal for professional development were outweighed by the prospect of it being used for purposes of advancement, discipline and dismissal.

Evans & Tomlinson (1989) suggested that the term appraisal had begun to replace assessment but the conceptual error remained. They went on to say that appraisal was for promotion, dismissal, professional development and career development, all seen as mutually dependent purposes commanding trust and confidence.

In 1985 Her Majesty's Inspectors of Schools (HMI) produced a report 'Quality in Schools: Evaluation and Appraisal'. Well intentioned and aimed mainly at secondary, it still talked about judgements by other persons (Poster & Poster 1993). It did rule out any direct link between appraisal and dismissal (Evans & Tomlinson 1989).

The DES commissioned Suffolk LEA to write a report, *Those Having Torches* (1985), referred to earlier. This was based on an initial DES sponsored trial of teacher appraisal in Suffolk. The report stated a belief that teachers wished to improve their performance to



enhance the education of pupils. It also stated that a precise definition of the purposes of the appraisal system was imperative - failure would be inhibiting and even disastrous. There was here an awareness of the possibly conflicting aims and perceptions of appraisal. 'Those Having Torches' favoured a professionally developmental approach to appraisal. However, as noted in the previous section, Elliott (1991) and Burgess (1989) say that much was taken for granted in assuming a line management approach and also in taking a simplistic and unproblematical view of information gathering and observation of teaching. The ideological implications of teaching were ignored in the interests of management.

There was industrial action at this time by teachers. Many of the voluntary appraisal schemes within schools stopped as goodwill was withdrawn by teachers (see Ball 1988). After a bitter dispute revolving around pay and conditions of service, issues at the heart of professionalism, in which teachers resorted to union action for resolution, it was agreed to accept the ruling of ACAS. As part of the ACAS agreement an Appraisal/Training Working Group was established. It was able to draw from 'Those Having Torches'. The working party comprised of representatives from teachers' associations, LEAs and the DES. In June 1986 it produced a unanimous report. It had veered to the staff development model, wishing to keep disciplinary procedures quite separate. It saw appraisal:

... not as a series of perfunctory periodic events, but as a continuous and systematic process intended to help teachers with their professional development and career planning, and to help ensure that the in-service training and deployment of teachers matches the complementary needs of individual teachers and the schools. (ACAS, 1986, P. 27)

Rather than taking revenge for a damaging dispute, appraisal was seen as being very much for the professional development of teachers. It was also assumed that their needs were likely to be complementary to those of the schools:

... what the Working Group has in mind is a positive process, intended to raise the quality of education in schools by providing teachers with better job satisfaction, more appropriate in-service training and better planned career development based upon more informed decisions. (ACAS, 1986, P. 28)

Thus the teaching force was to be developed, which would in turn improve standards of education and the running of the schools. Appraisal was seen as being essentially school based. The LEAs' responsibility would be to issue guidelines oversee the introduction and monitor the operation of the system. ACAS (1986) suggested that teachers should, where possible, be appraised by their immediate supervisor or another experienced teacher

designated by the head. It was seen as important that the process should be of a continuous nature and not become a bureaucratic chore or casual paper exercise.

The cycle was identified as: self appraisal/preparation, initial review discussion, classroom observation, the appraisal interview. The appraisal report was to be seen as 'transient' and, though kept by the head, would become the property of the teacher when its life had ended. ACAS (1986) felt that appraisal should reflect the teacher's work in the classroom and general contribution to life in the school. Thus appraisal should be linked to job description.

ACAS (1986) suggested that a pilot project be set up to be directed and monitored by a National Steering Group. This could develop and pilot the work done by the ACAS Working Group and also the Suffolk Education Department. The School Teacher Appraisal Pilot Study was set up under a National Steering Group funded by an educational support grant (ESG). Pilot work began in 1987 in six LEAs.

Meanwhile the teachers' dispute was settled. Teachers' bargaining rights on salaries was ended and a new contract and conditions of service imposed. There was now an obligation for teachers to participate in appraisal. This was to be regulated through the 1986 Education (No 2) Act. This Act allowed the Secretary of State to make regulations on performance appraisal of teachers which would apply in law. According to Poster and Poster (1993) the open ended nature of this meant that it could be changed and radically altered at the whim of the Secretary of State. This legislation which also regulated teachers' contracts of service, should be seen alongside increasing powers of governors and as preceding the Education Reform Act of 1988. It was a significant part of the process whereby the balance of power was shifting. The Secretary of State was increasing his power and there was a drive to make schools responsive to market forces, whilst teachers and LEAs were the losers (see Chitty 1989). As Evans and Tomlinson (1989) pointed out schools became the focus for all major strands of government policy which involved the development of parental choice, market forces, financial management and accountability of services.

The pilot, involving the six LEAs, carried on. The National Steering Group (NSG) had an overview of the project. The piloting was disrupted when the NUT and the NASUWT ceased to participate in March 1987. However, the NUT renewed participation in January 1988. The NASUWT rejoined the NSG for the final two meetings of the Group in June and July 1989. The report, published in 1989, used the pilot studies to build on the principles of the ACAS Working Party. Its findings followed the professional developmental approach and formed the basis of Circular 12/91 and also the training and guidelines of many LEAs.

It was proposed that the cycle should take two years. The first year would consist consecutively of an initial meeting, self appraisal, classroom/task observations, collection of other data, appraisal interview which produced targets and the appraisal statement. There would then be follow-up and professional activities. A formal review meeting would

take place in the second year. Whilst many parts of this report were used in the development of future appraisal schemes, such as the nature of observation, the importance of gathering data from other sources and the purposes of the interview, it was interesting to note that a minimum of one and a half hours classroom observation was deemed necessary.

The report explained the need to take positive steps to establish a favourable climate and to raise awareness among teachers if appraisal was to be launched successfully. This was perhaps an indication of the sensitivities surrounding appraisal in the light of preceding political events. LEAs were seen to have a positive role, unlike in many other aspects of government policy, especially as training was considered a priority. The report suggested that monitoring take place at a school, LEA, and national level and that a thorough national evaluation of appraisal should take place within five years of the implementation of national regulations. Resource implications were considered and the NSG report concluded that, over and above the costs of training, between £36.4m and £40.5m would be needed per annum to run the scheme.

The proposals were welcomed by many in education, especially in comparison to what could have been suggested in their place. However, John MacGregor announced in September 1990 that he would establish a national framework for appraisal but participation would be voluntary as teachers were already under pressure and should not take on something else at this time. He would issue guidelines but it was to be a local management issue (Goddard & Emerson 1992, Poster & Poster 1993). There were of course many issues regarding the preparation for and introduction of the National Curriculum at this time but perhaps the financial implications of introducing and running appraisal also influenced his decision.

In December 1990, shortly after taking office, Kenneth Clarke announced that he would press ahead with appraisal but that it would be seen as a normal management duty and therefore the time required was not wholly 'new time'. He made available less than one third of the amount recommended by the NSG. Funding would be £9 million per year for three years. There was to be a 1991-92 start for training and implementation. After that appraisal would be part of good management and would pay for itself through increased teacher/school effectiveness. This assumed that schools operated like firms and that education was a product to be sold as other goods. It ignored the difficulties of measuring effectiveness in the service professions. Also ignored were the financial implications of 'cover' whilst teacher appraisers were released from their own teaching to watch appraisees. This cost needed be taken from elsewhere in the budget which would effect the quality of education (Poster & Poster 1993).

In his address to the North of England Education Conference in January 1991, appraisal was viewed by Clarke, in keeping with previous ministers, as important in the management of the teaching force:

... performance appraisal is a natural and essential element in the management of any group of professional staff. Teachers need to be carefully and sensitively managed; they need help in remedying weaknesses, and recognition and encouragement for their strengths. And they need to have confidence in the fairness and consistency of the process. (Clarke, 1991, paragraph 43)

Once again there was reference to poor teaching. For Clarke, appraisal was to perform many possible tasks. It should be seen:

... not simply as a means of weeding out poor performers, or as a tedious bureaucratic requirement but instead as the essential conditions for the enhancement of their careers and the assurance of fair decisions about promotion opportunities. (Clarke, 1991, paragraph 45)

Significantly Clarke saw appraisal as helping to deliver the wider changes desired in education,

... it can be the key both to teachers' own greater professional development and job satisfaction, and to the successful implementation of our wider reform programme. (Clarke, 1991, paragraph 45)

Kenneth Clarke wasted no time. In August 1991, The Education (School Teacher Appraisal) Regulations 1991 had been approved by Parliament and came into force. By the autumn term 1991, the regulations and guidelines were sent to chief education officers. Appraisal for every teacher would take place on a two yearly cycle. For half at least the first cycle should start in September 1992. Appraisal for all teachers should have started no later than September 1994.

From the mid-seventies the progress towards a legal framework of appraisal may be charted. The role of government had greatly increased both in policy formation and control of education (Chitty 1989, 1992b, Ball 1994, Lawton 1992, 1994). Appraisal may then be seen as part of the increasing managerialism in the public sector in response to policies requiring market forces and accountability (Ozga 1995b, Hoyle 1995, Bottery 1996 and Gewirtz 1996). This managerialism is likely to influence the work of teachers as professionals and how they see their position in terms of deskilling and intensification (Apple 1988, Ball 1990, Hargreaves 1994, Freedman 1988, Buswell 1988).

The proposals of ACAS and the NSG may be seen as countering this view and calling for appraisal as a means of promoting the professional development of teachers along the lines of collegiality and reflective practice. Though a line management approach was recommended it was to be amongst fellow educational professionals. This portrays the image of extended professionals wherein teachers are responsive to public interests (Ribbins

1988, Avis 1994). Whether teachers see appraisal within the former or the latter conceptualisation will depend upon the regulations themselves and how they are implemented. This is likely to be influenced by the circumstances within each school as well as by national policy. The legal requirements for teacher appraisal will now be examined.

### **c. The Legal Framework for Appraisal.**

It is important to analyse the legislation and guidance involving appraisal. Bowe et al. (1992) recognised that policy intentions may contain certain ambiguities, contradictions and omissions that provide particular opportunities for those involved in the implementation process. The Education (School Teacher Appraisal) Regulations 1991 were laid before Parliament on 24th July 1991, to come into force on 14th August 1991. The aims of appraisal were stated in regulation 4.

1. Appraisal bodies shall secure that appraisal assists-
  - a) school teachers in their professional development and career planning; and
  - b) those responsible for taking decisions about the management of school teachers.
2. In carrying out their duty under Regulation 3, appraising bodies shall aim to improve the quality of education for pupils, through assisting school teachers to realise their potential and to carry out their duties more effectively.
3. Appraisal procedures shall in particular aim to-
  - a) recognise the achievements of school teachers and help them to identify ways of improving their skills and performance;
  - b) help schoolteachers, governing bodies and local education authorities (as the case may be) to determine whether a change of duties would help the professional development of school teachers and improve their career prospects;
  - c) identify the potential of teachers for career development, with the aim of helping them, where possible, through appropriate in-service training;
  - d) help school teachers having difficulties with their performance, through appropriate guidance, counselling and training;
  - e) inform those responsible for providing references for school teachers in relation to appointments;
  - f) improve the management of schools. (The Education, School Teacher Appraisal, Regulations 1991)

Point 4 of the aims stated that appraisal procedures should not form part of disciplinary or dismissal procedures, but appraisal statements could be used for the purposes specified in Regulation 14. This stated that:

Relevant information from appraisal records may be taken into account by head teachers, Chief Education Officers or any officers or advisers specifically designated by a Chief Education Officer

..... in advising those responsible for taking decisions on the promotion, dismissal or discipline of school teachers or on the use of any discretion in relation to pay. (Regulation 14, paragraph 1)

Thus the official aims of appraisal were to assist in the professional development of teachers and at the same time to improve the management of schools. Whilst it was stated that appraisal was not for the purpose of dismissal, it could never be totally separated from this issue. It was this confusion of aims that was likely to cause mistrust and resentment of the appraisal process as noted by Winter (1989), Evans and Tomlinson (1989), Goddard and Emerson (1992).

The appraising body was to be the LEA in a maintained school and the governing body in the case of a grant maintained school (reg. 2). It was to be the duty of the appraising body to ensure the introduction and subsequent continuous running of the appraisal cycle in accordance with the regulations (reg. 3 & 6). This may be seen as a particularly difficult responsibility for LEAs who had to oversee the introduction of a potentially unpopular measure. This was to happen during a period when they themselves were under political pressure (Wragg 1994).

The cycle was to be over a two year period. The head teacher was responsible for appointing appraisers of staff within the school (Reg 8). It is worth noting here that the Statutory Instruments did not mention line management appraisal. How appraisers were appointed was left entirely to the discretion of the Head.

Components of appraisal for school teachers should be: (reg. 8, 9, 10, 11, 12)

- classroom observation (two occasions, at least one hour in total in the first year of the cycle);

- an appraisal interview which should review the teacher's work, identify the teacher's achievements and aspects in which developments were desirable, identify training and development needs and set targets for action;

- a written appraisal statement, written by the appraiser in consultation with the appraisee after the appraisal interview, which should record the main points made at the interview and conclusions reached;

- a review meeting between the appraiser and the appraisee, which should take place at least once before the end of the two year cycle.

Those entitled to copies of the appraisal statement were (reg. 13): the appraisee, the appraiser, the headteacher and, on request, the chief education officer (CEO). The chair of governors had access to individual targets on request.

The use of the term 'consultation' in the above statements showed how the process was portrayed as joint and mutually beneficial. However, being consulted is not the same as the appraisee having the power to determine action. These components were the bare minimum which must make up the appraisal process. They could be added to at the

discretion of the appraisal body. It was possible for the interpretation of these requirements to take various forms and for the emphasis to be entirely different from one appraisal body to another.

Also, on 24th July 1991, Circular No 12/91 was released by the DES. This explained and provided guidance on the Education (School Teacher Appraisal) Regulations 1991. In the introduction it explained that the circular was designed to encourage and achieve good practice in schools. The Circular drew heavily upon the recommendations of the National Steering Group.

It pointed out that the appraisal body (the LEA) was responsible for all aspects of appraisal but suggested that schools should be given scope within the regulations to be adaptable. Within the parameters of the regulations, teachers could be consulted about arrangements for their appraisal. The Circular thereby gave some element of flexibility and allowed consideration of the professional views of teachers. However, this could have made the appraisal body's task more difficult. It was also suggested that appraisal should be set within the framework of school development which would generally be expressed in the school development plan:

The school's objectives in a particular year should be linked with appraisal, so that, for example, professional development targets arising from appraisal may be related to agreed targets and tasks in the development plan. Similarly appraisal targets, when taken together, should provide an important agenda for action for the school as a whole. (Circular 12/91, p2, no.11)

Thus targets set during appraisal should meet the needs of both school and appraisee. This would ensure that targets were realistic and an efficient use of resources. It is assumed here that both appraisers and appraisees are aware of the school development plan, also that the needs of the individual teacher and the school are compatible. The potential difficulty of in-service education and training (INSET) coordinators dealing with lists of in-service professional development requests without access to the confidential discussion which put them into context was not considered. The formulation of a school development plan and the linking of appraisal to it were assumed to be straightforward processes.

The Circular pointed out that all school teachers must complete the first year of the appraisal cycle during the year 1994/95. Money used to support INSET would be available to aid the introduction of appraisal.

The importance of a job description was mentioned but also that the appraisal was likely to be more purposeful if it focussed on specific areas of a school teacher's work. In Annex A of Circular 12/91 it was suggested that at the initial meeting the appraiser should aim to agree with the appraisee what information it would be appropriate to collect, from what sources and by what methods (point 18). Here the emphasis was on the desire to

mutually discuss, cooperate and professionally agree on the focus of appraisal. However this was not a legal requirement. As the Circular stated:

The appraiser is entitled to appraise across the full range of professional duties undertaken. (Circular 12/91, p4, no. 19)

It suggested that wherever possible the appraiser should have management responsibility for the appraisee but with responsibility for no more than four appraisees. It should be noted that this was taken from the NSG report and not from the statutory instruments. Thus, as with the Suffolk report, a line management approach was suggested. Increasing management control and information was favoured rather than the peer or collegial approach suggested by action researchers (Elliott 1991, Burgess 1989, Winter 1989).

It was suggested in the circular that certain other stages may usefully be added to the cycle, in particular, an initial meeting, a self-appraisal (voluntary but useful for the rest of the process), and, after consultation, the collection of data from other sources. These extra components can be seen as a way of making the process more useful and sensitive to the needs of teachers or alternatively as a form of contrived collegiality.

The circular also gave more guidance on how the different components could be carried out: for the observation the appraisers should have been briefed by the appraisee beforehand and have a clear understanding of the context of the lesson. Feedback on the observation should be given as soon as possible and at least within two working days. Collection of information should take place within a half term. The appraisal interview should take place as soon as practicable after this.

It was suggested that interviews are most likely to be successful when both are prepared, when it focusses on areas for which information was gathered and when there are no interruptions. Thus:

Appraisal involves the evaluation of the professional performance of an appraisee by the appraisee and an appraiser together, and the establishment of targets for future action and development. (Circular 12/91, p 6, no.31)

Appraisal was, according to the circular, focused on professional development and expected to be conducted by line management appraisers. The foregoing literature review has revealed the dichotomy inherent in promoting professional practice through a managerialist approach.

The circular stressed that appraisal should not be a comparison against a simplified checklist but should reflect the context of the teacher in terms of his/her professional duties. It should also take account of the policies of the school and LEA and national requirements in terms of national curriculum, publications of HMI and so on (point 60 and 61).



The circular suggested that if a teacher was performing inadequately then this should have been noted in normal day to day management. Appraisal should be seen as one, though not the only opportunity, to discuss this. It suggested that appraisal should be clearly separate from disciplinary procedures.

There would be no direct link with pay. However, the circular stated that it was "legitimate and desirable" for heads to take account of appraisal along with other information when making, or advising governors on, decisions concerning promotions and pay.

The circular clearly attempted to allay some of the teachers' unease about the potential uses of appraisal. It stressed the findings of the NSG in supporting a professional development approach in the implementation of the statutory orders on teacher appraisal. Perhaps this was a pragmatic strategy in the enforcement of such a controversial innovation.

Commenting on the proposals, Thompson (1991) stated:

With the introduction of appraisal, for the first time, the managers of teachers have a clear and specific responsibility for their professional development..... Although a hesitant and under resourced start, the appraisal Regulations provide skillful managers with the outline for their pattern of staff and school improvement. (Thompson, 1991, p. 33)

This view again points up the importance of managers rather than ordinary teachers.

Claims by teachers' associations, in particular, that the Government had reneged on the ACAS agreement and the NSG recommendations were noted by Goddard and Emerson (1992). The confidentiality of the teachers' appraisal report was claimed to be compromised and the distinction between appraisal and disciplinary procedures was no longer clear cut.

The statutory regulations themselves suggested a bare minimum that had to be done in the appraisal process. Much would depend upon how they were interpreted by those involved (Bowe et al. 1992). Circular 12/91 gave guidance on their interpretation and made suggestions as to how appraisal might be carried out. Within this guidance the importance of the management role in the development of teachers was stressed. This was reflected in much of the literature supporting appraisal (Fidler and Cooper 1992, Mortimore and Mortimore 1991, Jones and Mathias 1995, Horne and Pierce 1996). The aims of the school and the individual teacher were seen as compatible, perhaps reflecting the growth of the corporate approach suggested by Bottery (1996) and Reay (1996).

A number of conflicts, discussed in previous sections, can be seen to pervade the introduction of appraisal. There was in the guidance constant reference to the professional development of the teacher. Within the appraisal process, agreement, discussion and cooperation reflected the professional nature of teaching and the practice of collegiality.

There was an appeal to the professional as a responsible partner in education (Avis 1994, Ribbins 1988). The tension was between true collegiality and professional development and contrived collegiality through increasing managerial control (Hargreaves 1994, Blase and Anderson 1995). The introduction of appraisal may be seen as part of a process of deskilling and intensification which could in turn be part of an increasing managerialism and control over the work of teachers as discussed earlier.

It is doubtful whether one model of appraisal could operate as a mechanism for both control and for professional development (Evans and Tomlinson 1989, Goddard and Emerson 1992). Thus:

there are many contentious issues involved in such an appraisal system, which on the one hand encourages teacher professional development and on the other regards schools and teachers as being consumable products. (Humphreys and Thompson, 1995, p. 133)

Consideration of evaluations on the introduction of appraisal will shed some light on how its purposes have been interpreted.

#### **d. Evaluations of Teacher Appraisal.**

Various evaluations of teacher appraisal have been conducted since its introduction. In considering initial experiences of the introduction of teacher appraisal, Fidler (1995b) suggested that generally the message was supportive. He did see some common problems, such as the time needed for appraisal and the separation that seemed to exist in most schemes between appraisal and professional development. Williams & Mullen (1990) found that, in spite of the pressures of work and feelings of being undervalued, teachers were prepared to be involved in schemes of appraisal. Their knowledge of the practical operation of such schemes, however, was generally limited and often based on hearsay. There were concerns about the possible misuse of appraisal creating a climate of mistrust and being 'checked up on'. Teachers saw the danger of personality clashes and that the choice of appraiser was crucial in avoiding this. The need for resources to do the job of appraisal properly was also recognised. Thus, even before the regulations had been released, teachers saw the possible professional benefits together with the implications of increasing managerial control.

The initial NSG pilot study was evaluated by the Cambridge Institute of Education (1989). The evaluation proved very positive in terms of staff and school developments as well as in respect of attitudes of staff towards appraisal. This was, however, a pilot and did not have the threat of an imposed legal framework. There may also have been the feeling within the schools chosen of being special or volunteer cases. At the end of the evaluation concern was expressed about the need to produce an appropriate climate for

appraisal. This was perhaps due to an awareness of the wider political context in which appraisal was being introduced. It also reflected the fears of teachers who may have seen appraisal in terms of a threat to their professional position.

As head of a primary school involved in the pilot, Barraclough (1991) considered certain benefits already apparent from appraisal. These were stated as clearer and specific identification of INSET needs for individual staff and the school as a whole. There had also been improved negotiation of job descriptions, roles and responsibilities with increased co-operation in the management and delivery of curriculum change. Appraisal was further seen as a means of addressing more sensitive areas of classroom management and teaching practices. He saw appraisal as:

a way of extending our professionalism which has a direct bearing on the quality of the learning experience we offer to the children in our school. (Barraclough, 1991, p. 36)

Thus appraisal was seen as being part of the extended professional concept (Hoyle 1980). However his role as a head may also suggest an element of contrived collegiality (Hargreaves 1994) in this image of professionalism.

In looking at appraisal in many forms over ten years Montgomery (1991) noted that to maintain an appraisal scheme there needed to be continuous interest, energy and drive in order to keep it functioning in a worthwhile fashion. In an F.E. college Duckett (1991) found a mixed response from the appraisees. Fourteen percent felt the scheme was very or fairly successful, twenty percent thought that it was unsuccessful, forty four percent stated that it had made no difference, twenty percent felt it had been a failure and three percent did not know.

In an initial evaluation of teacher appraisal in Hillingdon, Holmes (1993), whilst acknowledging a high non response rate, found that the vast majority of staff were reassured of the personal and career development aims of the scheme. However:

There remain some latent suspicions of the motives for appraisal, particularly associated with the possibility of performance-related pay. (Holmes, 1993, p. 16)

The majority of teachers interviewed by Kyriacou (1995, 1996) said that their experiences of appraisal had been positive. It was felt that appraisal had boosted staff morale and that many teachers had benefited from the opportunity to talk with a colleague about career and professional development issues. Examples were given of advice they had received which had helped them improve their classroom practice. Time and the cost of the exercise emerged as the main concerns along with a need for more expertise in classroom observation.

Hopkins & West (1995) suggested that the national scheme for teacher appraisal could be a positive force for the professional development of teachers and for the improvement of their schools. From their evaluation of the progress of appraisal in Kent schools they found that more than three quarters of the teachers interviewed were strongly positive about appraisal as a professional activity. They had welcomed the opportunity to discuss their work with colleagues and most had found it a motivating experience. Many commented on an increase in self confidence after the appraisal process. Appraisers had also been enthusiastic about their involvement in the professional development of colleagues.

Links were noted between target-setting and classroom practice. It was felt that the more specific the target the more impact there was on classroom practice. This link was found to be more tangible in second and subsequent rounds of appraisal. Target-setting and impact on classroom practice was more acute in those schools where appraisal was systematically linked to development planning and integrated into a whole-school perspective on management structures and processes. Attitudes of the head and their ability to integrate appraisal into the process of teacher and school development appeared crucial for successful implementation. Some heads had used appraisal strategically for school development, others as a more personal matter. Here the impact on the school, though valuable, was slower and harder to detect. Of their case studies they said:

... they are examples of schools that have seen the potential advantages of appraisal and have tried to implement it as well as they can. (Hopkins and West, 1995, p. 16)

Their evaluation showed that the effects of appraisal depended upon various factors. Perceptions of appraisal appeared to be important. How it was implemented was likely to depend upon individual and organisationally specific factors such as school ethos. There was, in this evaluation, a perception of appraisal being important for professional and whole school development. It also saw the role of management as significant.

Wratten's (1995) research with a cross-section of teachers revealed a generally positive experience of appraisal. In spite of their reservations at its introduction, Wratten (1995) found that teachers had used appraisal to serve their professional needs:

What teachers have achieved is to create an appraisal system from which they feel they can gain some professional benefit different in emphasis although not wholly different in philosophy from appraisal in industry. (Wratten, 1995, p. 59)

According to Wratten, appraisal would improve what happened in schools. Teachers did however express fears about the possible use of appraisal in terms of performance related pay. Wratten thought that perhaps the development of other means to promote

accountability in education, such as the creation of the Office For Standards In Education (OFSTED) and the development of league tables, had removed the need for appraisal to operate in a threatening way. Thus appraisal could focus on staff development and, in turn, on school improvement.

Copley and Thomas (1995) examined the introduction of teacher appraisal in one school in South Wales. They found that, though staff felt it a worthwhile innovation, it had made little impact in terms of altering attitudes to teaching and practice within the school.

Reed (1995) and Rowan (1995) described the implementation of staff appraisal and how the appraisal process may feed into the school development cycle. However both of these studies were carried out in primary schools which are much smaller organisations than secondary schools. In each case there was a small number of staff. Both accounts were also written from a management perspective showing how the systems knitted together rather than considering participants' views on the process.

Summarising the results of a survey carried out in Camden schools, Hattersley (1995) found appraisal to be a positive and rewarding experience for many teachers. The process had been received favourably, perhaps due to the care taken in its introduction. Self-appraisal and observation were found to be particularly useful to both appraisers and appraisees. Staff relationships had been favourably influenced through the process and it was found that practice was generally benefiting. It was suggested that there was a movement towards the linking of individual and institutional development and that aggregated targets were having an effect on staff development programmes. The main issue was to do with time to conduct the process to the level desired. There was also a fear that routine may dull effectiveness over many cycles. She hoped that the TTA would see the importance of appraisal and the progress made when reporting to the Secretary of State and put its weight behind continued development.

Embery and Jones (1995) examined the reasons for a slowdown in appraisal activity in one school. This was evidenced by a lower number of completed appraisals than had been predicted and a lack of information feeding into the school development plan (SDP) and INSET plans. They interviewed the appraisers and appraisees and found very varied responses to appraisal, ranging from the most positive reports of successful process to the very opposite.

Negative reactions explained the reduction in completed appraisals. These questioned the effort needed, pointed to promises not fulfilled and suggested that it did not reveal anything not already known. Embery and Jones (1996) then suggested a management checklist which could aid the development and running of appraisal. This assumed that successful running of appraisal was a management problem without questioning the underlying reasons for the negative feelings of some staff.

In a study at one school, Nixon (1995) found that staff had not generally found appraisal to be threatening. They appreciated the opportunity to talk about themselves and reflect. Significantly many did not feel that their needs had been met by appraisal. They felt that it was something 'done to them'.

Barber, Evans and Johnson (1995) carried out an evaluation for the Department for Education (DfE) exploring how effectively teacher appraisal had been implemented at school level and the impact of appraisal on school management and on teaching and learning.

Findings about the process were encouraging. Most staff (seventy percent) were positive about the prospect of appraisal; almost all staff (ninety percent) had found the training adequate or better, were satisfied with their appraiser and considered the initial meeting a constructive framework for the whole process. Barber et al. (1995) felt that teachers were positive about self-appraisal, forty eight percent considering it an important part of the scheme. The great majority thought that their appraisal interview had been extremely effective or adequate. Barber et al. (1995) reported that a large proportion of teachers were positive towards their appraisal statements, with more than ninety percent finding them fair and balanced. These results were presented as illustrating the benefits of appraisal though, on reflection, they may have shown how the process had been sensitively introduced rather than illustrating actual changes which resulted.

Barber et al. (1995) found that the evidence was mixed when looking at whether or not appraisal had led to improved teaching and learning. This depended upon how the data was collected with between a half and a quarter of appraisees suggesting that appraisal had improved their teaching. Appraisers and appraisees found that they were able to set and agree targets. However, the evaluation questioned the quality of the targets, the lack of action plans and monitoring of their completion. It was felt that more training was required here.

Whilst many heads and appraisal co-ordinators spoke of how appraisal had contributed to improved management, better focused in-service training and professional development, it had not yet in the vast majority of schools studied, become an integral part of the school development planning process. Barber et al. (1995) pointed out that this development planning process was itself a new experience for many schools and in its early stages:

Only 34.3% of the teachers surveyed were convinced that appraisal had led to improvements in the school development plan or made a major contribution to school development, though over 40% thought it had improved departmental development..... Often when asked about the effects of appraisal on school management teachers state that they are unaware of any direct impact. When prompted they agree in some cases that there is greater awareness of individual teachers' needs and that INSET funds are being targeted more effectively. (Barber et al. 1995, p. 44)

The process of appraisal itself may be seen to have had a lower priority than other issues. Barber et al. (1995) noted the tendency for appraisal to be 'put on the back burner' in times of pressure within the organisation:

Another feature which appeared to limit the effectiveness of the appraisal scheme in specific schools was planned slippage of the appraisal timetable arising out of an impending OFSTED inspection (sometimes several months into the future), or because of the long-term illness or promotion to another school of a member of the senior management team. (Barber et al. 1995, p. 40)

Whilst considering these problems, Barber et al. (1995) felt that gains had been made as a result of the introduction of appraisal. These included: improved management, better communications, improved management skills among appraisers, improved professional dialogue, identification of staff potential, better identification of professional development needs, better targeting of INSET resources.

They concluded that, for the majority interviewed, the benefits of appraisal outweighed the costs. However as appraisal moved from its introduction there were signs that it was beginning to suffer from 'implementation dip' as newer initiatives took priority. The special needs code of practice, changes resulting from the Dearing Review and the introduction of vocational qualifications were all cited as examples of more recent innovational pressures. The OFSTED inspection was seen as by far the greatest of recent influences. This, according to Barber et al. (1995), was effectively reducing the impact of appraisal as a force for change, especially as appraisal was only given passing reference in the OFSTED process.

This would "represent a lamentable waste of investment of money, time and energy over the past decade" (p55), according to the evaluation, as appraisal could help in preparing for OFSTED. As appraisal became embedded the benefits resulting should become greater. The evaluation suggested that:

In the long run, thought needs to be given to the relationships between professional development, appraisal, school self-evaluation and the inspection system. If each of these were seen as one aspect of a wider whole there might be major opportunities for progress. (Barber et al. 1995, p. 56)

This report saw the introduction of appraisal as being moderately successful but its future was under threat due to the development of other pressures. They suggested that the appraisal process could increasingly aid the professional development of teachers and schools if its evolution was given priority. However, Barber et al. (1995) did see the possibility of links between appraisal and the inspection process in the future. This

perhaps confused the professional development issue with the increasing accountability of teachers and control over their work. Once again appraisal was evaluated in terms of an important management process.

Wragg et al. (1996) conducted a two year study of 1,000 teachers. They noted that the commitment and resources given to appraisal by schools varied tremendously. From the results seventy percent of teachers felt that they had derived some benefit from their appraisal. However, only fifty percent said that it had made a difference to their actual teaching. The overwhelming majority of teachers saw the process as professional development and opposed linking appraisal with pay and promotion. Wragg et al.(1996) noted the difference between an OFSTED inspection which was external and threatening and appraisal which was seen as collegiate. For Wragg et al. (1996) good relationships and respect seemed to be the key features in promoting change.

The study noted that three quarters of teachers were aged over forty and had deep-seated teaching habits. Wragg et al. (1996) suggested that appraisal, with its deep as opposed to surface approach to change, could address this issue. It was considered, however, that performance related pay (PRP) was unlikely to provide an incentive to change. The report recommended better training and support for appraisers, greater consideration of peer appraisal to make it more open, more time and money for appraisals and also follow up activities to help meet identified needs.

Thus Wragg et al. (1996) saw the moderate success of appraisal in terms of relationships amongst teachers. The disappointingly low effect on classroom practice may have been due to the fact that the process was in its infancy and would take time to filter through. Attempts to get more from the process for management information by adopting a hard line approach were seen as being of little use and, if anything, counterproductive in terms of the gains which had already been made.

These evaluations by Barber et al. (1995) and Wragg et al. (1996) were to be used by OFSTED and the Teacher Training Agency (TTA) in reviewing appraisal. Both studies suggested to OFSTED and the TTA that the gains made by appraisal thus far be realised and that the process should be supported as a means of teacher development.

OFSTED (1996) reported on the introduction and impact of appraisal. The main findings were that appraisal had enhanced the self confidence and morale of many teachers though it appeared to have led to only minor improvements in teaching. In the majority of schools the appraisal process was seen as isolated from school development and INSET planning. Though training was regarded as adequate, the quality of classroom observation and interviewing was variable in quality. For various reasons schools were experiencing "slippage" in the introduction of appraisal which indicated the low priority which appraisal was sometimes given. It was found that many senior management teams would have liked sharper targets to emerge from the appraisal process, more strongly



linked to classroom practice and school management. The report also noted, however, that headteachers had avoided linking appraisal, even indirectly, with pay and promotion.

The report acknowledged the perceived benefits which appraisal had brought to some schools. It also drew attention to what it saw as weaknesses and gaps in the current operation of appraisal. These gaps would, it said, be addressed by a review of appraisal to be carried out jointly by the TTA and OFSTED.

Gillian Shephard (Rafferty, TES, 8/3/96) was reported as saying that an expert teacher grade and a more rigorous appraisal system were needed to improve standards in schools. Rewards for expert teaching (based on criteria which governors would be able to use) in the form of PRP were suggested. Also, professional development would be monitored by an appraisal system 'with teeth'. She was unhappy with the working of the present system and wanted a more uniform approach. Thus accountability, control and reward seemed to be emphasised by her, in a way which would eclipse the more professional, collegiate approach.

In an interview with The Guardian (Carvel, 23/4/96), following the publication of the OFSTED report on appraisal, Chief HMI Chris Woodhead discussed appraisal and his future expectations. What he saw as a poor report prompted Woodhead to suggest the need for a radical overhaul. He saw the confidentiality of the process as a problem and was looking to:

... a system whereby staff appraisal feeds continuously into the school's internal management system for identifying strengths and weaknesses. Teachers would become more accountable to their 'line managers'. They would be set targets and told that by the time of the next appraisal they should show evidence of progress. (Guardian, 23/4/1996)

He also noted that the OFSTED report identified a poor link between appraisal, pay and promotion. If the system was strengthened in these ways management systems would be improved:

External inspections would then become less frequent checks on how the internal system of accountability was operating. (Guardian, 23/4/1996)

Thus, in a similar way to Shephard, Woodhead had moved from an emphasis on professional development to one of accountability to employer. There was the re-emergence of the concerns of Sir Keith Joseph to seek out and deal with inadequate teachers, a figure put at fifteen thousand by Woodhead. PRP and disciplinary proceedings were to be part of the package. Collegial development of the organisation was once more passed over in favour of performance indicators. Appraisal was seen as a means by which management

could gather information and thus increase control over the education process (Bartlett 1996).

In June 1996 the TTA and OFSTED released their joint review of teacher appraisal. The report did note strengths of appraisal when it was working effectively. However, it stated that these were not often seen in practice. The review revealed 'key' weaknesses which existed in many schools. These involved lack of rigour in the whole process which was shown by poor target setting, the line manager not being the appraiser, the process being too protracted, not fitting into school training and development plans and the two yearly cycle being incongruous with management planning.

The report had earlier noted, after considering how management of schools had changed since the introduction of appraisal, that:

These changes have altered the context in which appraisal takes place and to take account of this, and to secure more effective management of the performance of teachers and managers in schools, changes are needed to the way in which appraisal is carried out. Some schools have already adapted their appraisal practices and have produced a system for managing performance in which appraisal is a core element. (TTA and OFSTED, 1996, p. 2)

In the light of this, key principles and essential requirements were outlined. The joint review (1996) suggested that clear and universally accepted principles guiding appraisal in schools should be adopted. Appraisal should deal with all the key aspects of the performance of teachers. It should be integrated with the other management processes and information systems directed at school improvement. The appraisal process should address how well teachers were performing and what would be needed to assist their future professional development. Thus it should encourage, recognise and value good work whilst 'pointing up' any weaknesses with suggestions for future action.

The joint review (1996) thus saw appraisal as becoming part of "an effective system for managing performance". In this way it should be grounded in the regular monitoring and improvement of teachers' effectiveness in the classroom. Roles should be clear with performance standards and success criteria stated. Targets should:

... require teachers to focus sharply on their effectiveness in the classroom..... taking account of inspection findings or other key performance indicators. (TTA and OFSTED, 1996, p. 6)

It was also felt that structured discussion with the individual line manager should be conducted on an annual basis as part of the appraisal.

The review suggested that schools which were well managed had absorbed and adapted appraisal into their review arrangements. It pointed out that they had done this without extra resources other than those normally necessary to secure well managed

schools. Thus it concluded that extra funding was not needed to make appraisal effective in those schools which had so far failed to do so.

Many of the evaluations and reports mentioned in this section were published after the main body of interviews for this study had been carried out (conducted in the summer of 1995). They nevertheless provide a useful comparison. The evaluations generally noted the fears and suspicions of teachers which surrounded the introduction of appraisal. The view was put forward of teachers gaining some benefit from an appraisal system although the effects on classroom practice were far from certain. The evaluations gave consideration to both professional development and collegiality though they were primarily concerned with the management of the process. There may have been different images of power in how various commentators viewed appraisal. There were aspects of 'power over', 'power through', and 'power with' (Blase and Anderson 1995).

It may be the case that evaluations of the early cycles of appraisal reflected, as Scholtes (1995) pointed out, the novelty of the experience and the ability of appraisers to make the process less onerous and threatening. Certainly later studies (Barber et al. 1995, Wragg et al. 1996) pointed to the decrease in the impetus of appraisal as other pressures took priority. Appraisal after the initial stages did begin to suffer from slippage. The hope expressed by Barber et al. (1995) and also to some extent by Wragg et al. (1996) was that the appraisal process could be given 'a shot in the arm' in terms of funding. They were however fearful that it could also be abandoned or drastically altered, threatening any perceived professional gains.

The comments of Shephard (1996), Woodhead (1996) and the reports by OFSTED (1996) and the TTA and OFSTED (1996) did show a desire to change the nature of appraisal. The aim was to integrate it more fully into management systems for school effectiveness. This would in effect give more information to managements and thus increase their control over the work of teachers. Any reference to the professionalism of teachers was in the purely practitioner competence sense identified by Hoyle (1995). These changes may further illustrate the changing nature of the management of teachers as professionals and the growth of managerialism (Ozga 1995b, Bottery 1996, Rea 1996).

The suggested change in the nature of appraisal reflects the view of Apple (1986), that during the process of proletarianisation and deskilling an innovation may be brought in by management which at first appears to have little effect. Once in place, however, the whole nature of the process may be changed. This potential change of purpose was considered at length by some of the respondents in this study.

This literature review has first of all looked at the professional status of teaching in relation to changes in the work process. The nature of schools as organisations has been investigated and the micropolitical life within them identified as significant in analysing the introduction and running of any national policy.

The appraisal process has been analysed in the light of the differing purposes and models of appraisal. Appraisal can be introduced for professional reflection and development of teachers, it can be a means of increasing the control over their work and making them more accountable or it may be seen as a management tool to enable more effective deployment of resources. Each of these purposes, or combinations of them, will affect how appraisal is introduced and received in schools and, ultimately, the nature of the process.

The history of the introduction of teacher appraisal has been charted in order to highlight the tensions inherent between these purposes. Finally, evaluations of the introduction and development of appraisal were outlined. These served to show how the development of any initiative reflects the stresses and ideologies existing between those involved.

Tensions remain over the purposes of appraisal. The introduction of appraisal has been linked to changes in management control within schools and the nature of teacher professionalism. These tensions will manifest themselves differently in each school reflecting the different power relationships which have developed within each institution. It is important to consider how individuals and groups of teachers react to the introduction of appraisal as another government policy initiative (Bottery 1996, Bowe et al. 1992). Teachers may be seen to use their own history and values to interpret current developments (Bossetti and O'Reilly 1996).

Before considering the schools in this study and the development of appraisal within them, it is important to outline the methodology to be used and how this will allow the research questions posed in chapter one to be addressed.

## **Chapter 3. Research Methodology.**

### **i. Justification of Approach.**

When considering the introduction and running of a legally compulsory system of teacher appraisal, there has to be analysis at three different levels. Firstly, the overall policy and legal requirements need to be considered at the macro level since national policy affects all schools. Secondly, what Ball (1987) called the 'meso' or school level requires examination. This concerns the operation of each individual institution. In the instance of appraisal that means the setting up and running of an appraisal system within each particular school. Thirdly, the micro level needs to be looked at to understand the interpretations and actions of the teachers concerned. Lacey (1993) saw the use of these different levels as bringing increased rigour to any analysis.

These levels do not exist in isolation. As Ball (1987) pointed out each is interwoven with the others. The difficulty is in separating each out, if indeed that is at all possible. When looking at macro perspectives the concern is of wider social influences upon individuals. Micro theory considers how individuals actively interpret and shape their world. In reality no one perspective is able to give a full explanation. Individuals are to a large extent shaped by forces beyond their control, yet they are not passive and have an effect upon the social situations in which they operate. This research project, having discussed macro issues in the previous sections, now concentrates on the level of the organisation, in other words, the meso and also the micro. The perceptions and actions of individual teachers within the schools now become the prime concern.

It was felt by the author that a largely interpretivist paradigm would be most appropriate. The use of qualitative methods and data would enable consideration of the views, feelings and perceptions of those involved.

Creswell (1994) has said that research design presents two choices of paradigm and the terms associated with them. The quantitative paradigm is considered traditional, positivist and experimental. It came from the empiricist tradition as exemplified by Durkheim, Mill and Newton. Qualitative is constructionist, naturalistic and postmodern. Creswell (1994) did accept that actual studies have rarely shown all the characteristics of one paradigm. He suggested that the qualitative paradigm was useful for exploratory research where the variables are unknown. In these instances the specific context is very important and there is often a lack of theory base for study. This paradigm seemed appropriate when considering the introduction of, and actors' perspectives on, teacher appraisal.

Cassell and Symon (1994) pointed out the need for flexibility in that the research process has to be responsive and adaptable to differing circumstances. The reflexive nature of qualitative research was seen as important because the researcher is part of the situation. They regarded statistical analysis as often inappropriate when wishing to understand behaviour:

.. qualitative research can be said to have a number of defining characteristics which include: a focus on interpretation rather than quantification; an emphasis on subjectivity rather than objectivity; flexibility in the process of conducting research; an orientation towards process rather than outcome; a concern with context - regarding behaviour and situation as inextricably linked in forming experience; and finally, an explicit recognition of the impact of the research process on the research situation. (Cassell and Symon, 1994, p. 7)

Maykut and Morehouse (1994) felt that qualitative research placed emphasis on understanding through looking closely at people's words, actions and records. They maintained that a qualitative study had a focus though this was initially broad and open-ended. Such research has the characteristics of being exploratory and descriptive. The research design is emergent with data collection being based in the natural setting and using qualitative methods. This research project involves the investigation of appraisal as it was set up and in its early cycles and, as such, displays many of the characteristics of qualitative research identified above.

Schofield (1993) argued that though qualitative research tended to be particularistic, it should also give attention to the concept of generalisability. This could be thought of as the 'fit' between the situation studied and others which may be similar. This makes thick descriptions crucial to facilitate comparison.

Schofield (1993) referred to three targets in terms of generalisation when designing a study: 'what was', which encompasses the typical, common, ordinary; 'what may be', which points to future trends and issues to consider; and 'what could be', which means looking at actual situations compared to an ideal of what 'should be'. Here one would be open about having one's expectations about something disconfirmed. Schofield (1993) suggested that considering qualitative research in this way should lead to greater generalisability. All of these questions are important to this research into appraisal. The 'what is' in this case is three comprehensive schools responding to the introduction of another national requirement, that being teacher appraisal. The 'what may be' signifies how the appraisal process could be used to professionally develop or control teachers in the future. The 'what could be' shows the difficulties of actually setting up and running systems when the benefits have yet to be realised.

Bearing in mind the criticisms of Atkinson and Delamont (1985) regarding the unthinking use of the term 'case study' for all forms of educational evaluation, this

investigation into teacher appraisal takes the form of a case study. Three separate cases are in fact outlined and investigated in order to allow some comparison.

Hartley (1994) defined case study research in organisations as:

... a detailed investigation ..... of one or more organisations, or groups within organisations, with a view to providing an analysis of the context and processes involved in the phenomenon under study. (Hartley, 1994, p. 209)

He suggested that the usefulness of the case study approach lay in the fact that the phenomena to be looked at was studied in its context. Analysis is generally inductive focussing on social process. Case studies are able to provide rich and fascinating details but Hartley (1994), like Atkinson and Delamont (1985), stressed the need for clear theory at the start or grounded theory which leads to emergent theory. The use of the case study approach in this research enables the introduction and running of teacher appraisal in each school to be examined in detail. The qualitative data allows the meanings of those involved to be expressed. Significant differences and similarities between the three cases then become apparent.

Walford (1991) said that research was often presented as a clear cut activity which was reasonably well ordered. He cautioned that in practice it was not like this and the reflexive nature of the process must not be forgotten. It is with this in mind that the actual design for this study into teacher appraisal is now outlined.

## **ii. Research Design.**

In the schools used for this study interviews have provided the major source of information. Interviews, like all methods, possess strengths and weaknesses. Through this study the author wished to examine teachers' perceptions of, and their attitudes towards, appraisal in three comprehensive schools. Interviews appeared to be a particularly suitable vehicle for data collection. As King (1994) noted:

One area where qualitative interviews may be of great use is in studying organisational and group identities in large organisations.... where a complex pattern of organisational, work group, professional and interpersonal loyalties exists. (King, 1994, p. 33)

King (1994) also pointed to the flexible nature of interviews which could be carried out almost anywhere and produce data of great depth. They are also a method which the respondent is able to feel comfortable with. This was felt to be significant in this instance where, especially in the early stages, casual conversations were used to gauge opinions and help the researcher in formulating future questions and hypotheses. Chance meetings in corridors, libraries or car parks were taken advantage of and formed unstructured, open-ended interviews. In the middle stages more structured interview situations were used to generate the main bulk of the research data. In the later stages once again shorter, less structured interviews were used to check previous data and also to see what changes had taken place in the intervening time lapse. As Bell (1991) said:

A major advantage of the interview is its adaptability. A skillful interviewer can follow up ideas, probe responses and investigate motives and feelings. (Bell, 1991, p. 70)

She also pointed to the time consuming nature of interviews. This was particularly so in this case where the research was carried out over several years in the three schools and a large number of interviews were conducted.

### **a. Forms of interview used.**

#### **Chance meetings.**

There were several occasions when casual conversation with teachers from the schools provided valuable data. These occurred usually early on in the study and were significant



in grounding the initial theory. These discussions basically involved personal opinions about the introduction and purposes of appraisal.

As Hammersley and Atkinson (1995) pointed out, the aim of the conversation from the respondent's point of view is often to make sure that the researcher understands the situation 'correctly'. This may be to counteract what it is presumed that others have been saying or the researcher's initial observations. This was particularly noticeable in this research when in casual conversation teachers were tending to 'try to put the researcher right' on the real purposes of appraisal. Meetings were usually brief and it was necessary to make notes from memory as soon as possible afterwards.

#### Interviews During the Setting up of Appraisal Systems.

These were carried out with significant staff involved in the setting up of the appraisal process. The appraisal coordinators of all three schools and the staff members of working parties/steering groups of two of the schools were interviewed. These interviews considered the views of those involved and the people they 'represented' concerning appraisal. They were carried out in private and were semi-structured in nature in that the respondents were allowed to express themselves in response to certain questions which the interviewer raised. Notes were taken during the interview and read back to the interviewee at the end as a validity check. These were fully written up afterwards. This strategy was what Burgoyne (1994) described as stakeholder analysis based on the view that any phenomena within an organisation:

... has a number of 'stakeholders', or interested parties who affect, are affected by, experience and conceptualise it. (Burgoyne, 1994, p. 187)

Stakeholder analysis identified some of these interested parties and collected data about their actions, perceptions, behaviours, experiences and thoughts in relation to the phenomenon under investigation. It was able to provide a variety of material which could be used in inductive, deductive and comparative ways. These particular respondents were for various reasons involved in the development of appraisal systems within their schools and they also represented different levels within each organisation. Thus these initial interviews helped to provide an analytical framework and background for the major data collection which was the formally arranged interviews involving representatives from the whole staff.

#### Formally Arranged Interviews with Large Numbers of Staff.

The in-depth interviews at this stage of the research as with those in the last section, fall into the category of what Bell (1991) called a guided or focused interview. The respondent was allowed a considerable degree of latitude within the framework. Certain questions

were asked and specific areas needed to be covered but respondents were allowed to 'talk around' the topic in their own way.

These interviews were conducted in specifically designated rooms in each school generally used for such a purpose. The interviews were taped with the consent of the interviewees and a guarantee of confidentiality. Though at first this may have been unsettling for some, it meant that when the interview was in progress they were not distracted by note taking and the interviewer could concentrate on what they were saying. Generally it was possible to ignore the interview schedule and only refer to it as a check that all relevant aspects had been covered.

It was also hoped that fully typed transcripts would aid analysis and the use of respondent quotations would be accurate. One must be aware with the use of interviews, that the transcriptions and the summaries drawn from them are *themselves interpretations* of a conversation or interview. Whilst some parts have been chosen as important by the interviewer, other points have been deemed as less relevant. Atkinson (1992) has warned of this:

Some degree of arbitrary imposition is necessary, and these decisions will have implications for just how those social actors are constructed in the text. (Atkinson, 1992, p. 29)

It was important to construct these accounts responsibly and to be faithful to the meanings of the interviewee. Atkinson (1992) also pointed out that:

We do not have perfect theoretical and epistemological foundations; we do not have perfect methods for data collection; we do not have perfect or transparent modes of representation. We work in the knowledge of our limited resources. But we do not have to abandon the attempt to produce disciplined accounts of the world that are coherent, methodical, and sensible. (Atkinson, 1992, p. 52)

Such was the aim when analysing the interviews conducted as part of this study.

The interview schedule (appendix 1) had certain general introductory questions to relax the interviewee and to get the interview in progress. The aim was to lead the interviewee into the general area and to allow them as much freedom to express themselves as possible whilst ensuring that the main areas were covered. Biographical details were needed of each teacher, such as how long they had been teaching, their career history, any post of responsibility held, their feelings towards the job of teaching generally, aims or hopes for the future. Also it was of great importance to ascertain their experiences and opinions regarding appraisal and its introduction. The data thus gathered would hopefully allow an analysis of how teachers saw their job and their position in the school. Any relation between these things and their views on appraisal could then be analysed.

It was anticipated that the interviews would last between half an hour and one and a half hours. In the event the majority lasted about forty five minutes. The interviews varied a great deal in length. Some teachers had a great deal to say, others very little. Some naturally covered the areas looked for, others were very difficult to 'pin down'.

Whatever their response, it was important to consider the interviewees who were the focus of the interview process. Walker (1985) noted the effect of the interview on the interviewee in that it opened up taken-for-granted areas of the interviewee's life. As a result the interviewer needed to be reflexive and to offer a sense of closure to the interview. Pausing, reflection during the interview, asking the interviewee to recapitulate, summarising and rephrasing were all an important part of this process. King (1994) suggested that the relationship between the interviewer and interviewee was part of the research process. He noted that interviewees could actively shape the course of the interview when allowed to express themselves in their own way. These points were particularly relevant when interviewing busy teachers over something which may have been considered a sensitive area. Interviewing was itself a part of the appraisal process and the skills of the interviewer were considered of paramount importance in the training literature on this topic (Jones and Mathias 1995).

Nias (1993) found interviewing teachers a rewarding method of collecting data because of their willingness to talk frankly and openly. This was the case in the interviews conducted for this research. However, certain problems did arise which were also encountered by Nias (1993): the time taken, difficulties in making arrangements, phrasing questions to appear natural as in conversation and approaching sensitive areas (especially those associated with strong feelings) with indirect rather than direct questions.

#### **Interviews Conducted One Year Later.**

Several members of staff, including the three school appraisal coordinators, were interviewed the following year to discuss any further developments concerning the running of appraisal. These interviews also provided a check on the previous data collection and analysis.

#### **b. Observation/Participant Observation.**

This took place in two of the schools on several occasions during the introduction of appraisal. With help from the 'gatekeepers' it was possible to attend and take part in the staff training days at these schools. It was also possible to attend several working party meetings at School One and the final presentation of the appraisal scheme to the staff. A staff meeting which evaluated appraisal was attended at School Two.

These relatively unstructured observations helped to chart the introduction of appraisal in these schools. They illustrated the development from the national and county proposals to the systems which were established in the individual schools. They were able to inform the initial interviews and help in the developing of a theoretical framework for use in the major data collection. Observations also acted as a check and means of reference when examining interview data and school-specific documentation regarding appraisal.

### c. Questionnaires.

It was initially intended to supplement the data obtained from interviews with questionnaires given to staff at the three schools. This would have given the opportunity for all staff to respond. Questionnaires would have yielded quantitative data which could have been used to expand upon information gathered from the interviews. This alternative form of data may have also been used as a validity check on the interviews.

In attempting to design a questionnaire, fitness for purpose was considered as important. Bell (1991) pointed out the need:

... to ensure you produce a well-designed questionnaire that will give you the information you need, that will be acceptable to your subjects and will give you no problems at the analysis and interpretation stage. (Bell, 1991, p. 58)

However the use of questionnaires did present certain problems. Ensuring they were filled in and returned were practical issues. Perhaps more difficult was trying to elicit data of a personal nature involving feelings, emotions, beliefs, in fact anything sensitive, using such a method. They could provide quantitative data but had difficulty in enabling qualitative analysis. The researcher needed to be careful not to oversimplify the issue under investigation, or to trivialise what the respondent saw as important. It would also have been unrealistic to expect people to spend what could amount to large amounts of time filling in detailed personal responses on what were impersonal pieces of paper, perhaps placed anonymously in pigeon holes in the staff room.

An introductory questionnaire was given to staff at School Two after an appraisal meeting concerning the design of the appraisal system. The questionnaire was to be given out by the appraisal working party members to the staff in their groups. They were to be filled in and returned to the members at the end of the meeting. Even having assumed that this would ensure a high response rate, the majority were not returned. Due to the nature of the questions, the qualitative responses wished for were not given in those that were returned. Attempting to chase up the missing responses only served to irritate staff and risked losing

their future cooperation. It was decided not to use questionnaires again due to the inadequacy of ensuring data of sufficient depth. As Walker (1985) said:

The questionnaire is like interviewing-by-numbers, and like painting by numbers it suffers from some of the same problems of mass production and lack of interpretative opportunity. On the other hand it offers considerable advantages in administration - it presents an even stimulus, potentially to large numbers of people simultaneously, and provides the investigator with an easy (relatively easy) accumulation of data. (Walker, 1985, p. 91)

Perhaps with these advantages in mind one of the schools did use questionnaires to evaluate its first appraisal round. The results gathered were about the mechanics of the process and not the wider issues surrounding appraisal. The response rate with this questionnaire was also comparatively low. This led the working group who were analysing the questionnaires to assume that the staff were generally satisfied with the appraisal system. For the purposes of this study not only were the results of interest but also how these results were interpreted. This itself became part of the analysis of the introduction of appraisal.

#### d. Documentation.

Hammersley and Atkinson (1995) have suggested that documentation, as well as often providing a valuable source of information, also raises questions as to how it has been written, how it has been read and who wrote it. What is included or omitted is then also significant. These points were relevant to understanding the ideologies and power of those associated with the introduction of appraisal in the three schools.

Documents produced by the LEA and also those developed by the schools have been used as data. This helped in the explanation and understanding of the introduction and running of the appraisal systems within each of the schools. Documentation from these sources was also frequently referred to in the different interviews conducted throughout the study. In the period before the main data collection via the formally arranged interviews, each of the schools was inspected by OFSTED. The reports produced from these inspections provided a valuable source of data. They were also frequently referred to by teachers in the formally arranged interviews.

A combination of the above methods allowed a strategy of tracer studies (Hornby and Symon 1994) to be used in the early stages of the study. This is a way of identifying and describing an organisational process as it develops. Documents and meetings were used to show a process developing over time. This was a useful way of charting the introduction of appraisal in each of the schools.

### **iii. Validity and Rigour in the Research.**

It was important to ensure that the research itself was of the highest quality. Maykut and Morehouse (1994) spoke of the importance of the trustworthiness of the research. By this they meant to what extent confidence could be placed in the outcomes of the study. Miles and Huberman (1994) outlined the need to be watchful in qualitative research about the multiple sources of analytic bias that could weaken or invalidate findings. They cited several major sources of bias. Of these, the holistic fallacy involved seeing patterns that did not really exist. Elite bias resulted from collecting data from high status elite informants at the expense of others. Finally, going native was a result of being co-opted into the perspectives of those being studied. Though no study can be perfect, the aim as Miles and Huberman saw it, is to increase confidence in the findings by applying techniques of confirmation and verification.

Detailed information and description of the purpose, methods, process and outcomes has been said to provide readers with a basis for judging the credibility of the study (Maykut and Morehouse 1994). For these reasons efforts have been made to make all aspects of this research as accessible as possible.

The representativeness of the sample was carefully considered. The aim of the study was to show how different teachers regarded appraisal and how this reflected their work situation within the school. This meant that as broad a range of staff as possible was sought from each school and care was taken to avoid elite bias. Age, gender, post of responsibility and subject taught were all taken into account in identifying respondents. To increase the representative nature of the sample efforts were made to include as many different cases as possible. When there was a choice of 'similar' staff in terms of research characteristics the sample was chosen randomly.

In attempting to reduce researcher effects on the respondents and vice versa, following the advice of Miles and Huberman (1994), as much time as possible was spent on the three sites at different periods of the research. However there were long gaps between stages of the research when no visits were made. This perhaps guarded against 'going native'. The nature of the research was made clear to the informants. A number of interviews were conducted 'off site' or in the teacher's own teaching rooms to reduce the possible threat or 'exoticism' (Miles and Huberman 1994) of the interview.

The combination of interviews and observations along with reviews of relevant documents increased the likelihood that the phenomenon was being understood from various points of view (Maykut and Morehouse 1994). Convergence of patterns or themes here lent strong credibility to the findings.

Modelling Denzin's (1970) forms of triangulation, this study chose interviewees from three different schools with differing position in the hierarchy of the organisations

and varying involvement in the development of staff appraisal. Interviews were carried out at different stages in the introduction of appraisal and at the end of the first one and a half cycles. This may be taken as triangulation by data source:

Data-source triangulation involves the comparison of data relating to the same phenomenon but deriving from different phases of the fieldwork, different temporal cycles occurring in the setting, or, as in respondent validation, the accounts of different participants (including the ethnographer) differentially located in the setting. (Hammersley and Atkinson, 1995, p. 230)

Observation, interviews and documents produced regarding appraisal were used in the research, which may be classed as triangulation by method. Miles and Huberman (1994) talked of triangulation being used to support a finding by showing that independent measures agreed with it. This did assume, as Hammersley and Atkinson (1995) pointed out, that both measures were not incorrect. They went on to say that differences between sets or types of data could actually prove illuminating.

Miles and Huberman (1994) pointed to triangulation as a way of life. If findings were consciously checked and double checked using different sources of evidence then verification would be built in:

... by seeing or hearing multiple instances of it from different sources, by using different methods and by squaring the finding with others it needs to be squared with. (Miles and Huberman, 1994, p. 267)

This was the strategy when gathering data for this study. As Hammersley and Atkinson (1995) said:

What is involved in triangulation is not the combination of different kinds of data per se, but rather an attempt to relate different sorts of data in such a way as to counteract various possible threats to the validity of our analysis. (Hammersley and Atkinson, 1995, p.232)

Maykut and Morehouse (1994) used the phrase 'member checks' to refer to the process of asking research participants whether their accounts had been recorded accurately. However this needed to be done sensitively and to show regard for the feelings of the respondent. Again agreement does not automatically make the findings valid:

Whether respondents are enthusiastic, indifferent, or hostile, their reactions cannot be taken as direct validation or refutation of the observer's inferences. Rather, such processes of so-called 'validation' should be treated as yet another valuable source of data and insight. (Hammersley and Atkinson, 1995, p. 230)

In this study, as a means of increasing validity, when members of the working parties of two of the schools were interviewed the written notes were read back at the end of the session. When several respondents were reinterviewed after one year, significant points from their first interview were raised at the start. This enabled them to respond and also acted as a checking device. A sample of respondents from each school were shown the transcripts of their interviews. They were specifically asked if the representations of them in the study were, in their opinion, accurate.

In keeping with a suggestion of Miles and Huberman (1994), an attempt was made to reduce researcher bias in analysis by giving a sample of tapes, transcripts and the resulting analysis to a colleague, not involved in the research, to check. This led to a form of audit trail (Maykut and Morehouse 1994) designed to judge the trustworthiness of the outcomes.

In qualitative research great importance has been given to the meanings of those involved in the phenomena being studied. However the very process of uncovering these meanings could leave the researcher open to accusations of bias. Attempts were made in this study to be as rigorous as possible and to increase the validity of the findings by the strategies outlined. At the same time there was an awareness of the limitations of a study conducted on such a small scale and any findings are presented in this light.



#### iv. Data Collection.

The researcher had been closely involved with the schools, having worked in one for a number of years and been TVEI coordinator for all three. This had implications for the research in terms of personal involvement influencing the interview responses and the danger of 'going native' (Miles and Huberman 1994). It also had certain advantages in terms of facilitating access to staff in the schools, 'breaking the ice' with interviewees and being able to bring to bear an intimate knowledge of the schools in the interviews.

In order to gain access to the schools, the staff and the processes surrounding appraisal, a 'gatekeeper' was needed in each institution:

In formal organisations ..... initial access and negotiations may be focused on official permission that can be legitimately granted or withheld by key personnel. (Hammersley and Atkinson, 1995, p. 63)

In each case this was the senior manager responsible for the introduction of appraisal. In two of the schools this was a deputy head and in the third it was the head. It was useful that they were in a senior position in that they were to be able to provide information about the school and to help in the setting up of the interview timetable.

#### School One.

The first deputy was the 'gatekeeper'. She was the appraisal coordinator in the school. Being deputy she was aware of the policy and much of 'what went on' in the school. Through her the researcher was given access to the staff training days, members of the working party and working party meetings.

Being responsible for timetabling and also in charge of the school whilst the head was on secondment for six weeks, the deputy was able to help with the mechanics of setting up the formally arranged interviews. It was agreed that the interviews would take place from the middle of May 1995. This was the earliest opportunity for the researcher and also a time when year eleven pupils began GCSE exams. This would mean that the staff were under less pressure. The deputy provided a staffing list on which the responsibilities of all the staff were indicated. The deputy also provided a full staff timetable. From these it was possible to arrange an interview timetable which suited the staff involved, fitted researcher availability and also involved teachers with different responsibilities and experiences within the school. An interview room (used for interviewing pupils) was made available.

The list with dates and times was posted in the staffroom. The deputy drew the teachers' attention to it in one of the weekly staff briefing sessions. Staff were asked to tick or cross out if they could take part or not. The initial problem was trips and INSET courses which filled that time of the year. In a number of cases the list had to be amended (and often the 'stand-ins' approached by the researcher). This was possible because of the researcher's knowledge of the staff and his possession of the timetable. In the event thirteen staff in all were interviewed. The sample was not totally random nor made scientifically representative; however it did include those involved with appraisal as part of their management function. It also considered variations in age, gender, experience and responsibilities.

Two staff refused to take part with no explanation. One, a scale D post holder, had recently applied for a deputy head post at the school and not been appointed. The other was a mainscale teacher who had taught at the school for approximately twenty years. By chance the appraiser of this member of staff was interviewed and, in confidence, shed much light on the appraisee's mistrust of appraisal.

The interviews took place on thursday 18th May, tuesday 23rd May, thursday 8th June, friday 9th June 1995. The deputy head and the member of staff responsible for INSET were re-interviewed in the summer of 1996. This was to check on data already collected and to ascertain any significant developments or changes in opinions as appraisal had moved on a year. The head of English was also interviewed for the same reasons. She had previously been interviewed as a member of the working party.

### School Two.

The 'gatekeeper' in this school was the head who was the appraisal coordinator. He was aware of much of 'what went on' in the school and central to the policy forming process. Through him the researcher was given access to the staff training day, members of the working party and the staff meeting which evaluated appraisal.

As with the other two schools, when it came to formally arranging the interviews the head provided a staffing list and a copy of the school timetable. The interviews were conducted in the penultimate week of the summer term. This was because the school had been inspected by OFSTED just before the half term and it seemed advisable to wait as long as possible after this before carrying out the interviews. The researcher was in fact, pleased to be allowed into the school so soon after the disruption of the inspection. However, trying to interview staff so late in the term proved to be quite a problem.

The head asked that each interviewee be personally written to, requesting them to take part and proposing an interview time. Only one person declined to take part. After the first two interview days, the school timetable was suspended for activity days and many

staff realised they were otherwise engaged. The head himself was at a conference for part of the time. Nine members of staff were interviewed on monday 10th July, tuesday 11th July, wednesday 12 July 1995.

The head was re-interviewed in the summer of 1996 as a check on data already collected and to consider any changes regarding the implementation of appraisal. Three members of staff were interviewed for the first time in the summer of 1996. This was in the light of data collected the year before and also to widen the spread of staff interviewed after the previous disruption of the interview timetable. Thus, as with the other two schools, the sample was not totally random nor made scientifically representative. However it did include staff involved with appraisal as part of their management function. It also considered a variety of ages, experience, responsibilities and gender.

### School Three.

The 'gatekeeper' was the deputy head. She was responsible for appraisal in the school and was also a county appraisal trainer. It proved difficult to gain access to the staff during the setting up of appraisal. This was because of the situation within the school regarding redundancy and the way the gatekeeper was able to keep the researcher 'at arms length'. She tried to give the data herself and to avoid involving the rest of the staff. This was one of the dangers that Hammersley and Atkinson (1995) had warned of when they spoke of the concerns of gatekeepers regarding the picture that the researcher may paint. They noted how gatekeepers may attempt to block certain lines of enquiry or 'shepherd' the researcher in one direction or another.

Whilst discussing the formally arranged interviews she suggested that she could identify staff to be interviewed. In the end the researcher was given a staff timetable and a staffing list, with these an interview timetable was drawn up. The deputy did arrange to ask the staff concerned personally rather than post the list up. This appeared useful in ensuring the running of the interview timetable. However individual staff still had to remember and other things did crop up such as trips and absence. It also made the researcher reliant on the deputy having asked them. This again illustrated how, at least initially, much depended upon the 'gatekeeper' and any researcher needed to be constantly aware of this and vigilant to its effects on data collected (Hammersley and Atkinson 1995).

The first day of interviews had to be cancelled as the deputy was not in school and no one appeared to know about the arrangements. An extra day was added to replace the interviews lost and the timetable was revised. On arriving at the second start date, it was found that the first interviewee was absent though the rest were available. A member of staff on the corridor who was 'free' at the time offered to fill the first slot.

The interview room was very suitable in itself but rather out of the way. This became inconvenient when the researcher had to go and find staff which became necessary in many cases after the first day.

The researcher arranged especially to come into the school several weeks later and interview 'K'. She was the youngest and most recently appointed member of staff, who as it turned out was leaving at the end of term. In the end eleven members of staff from School Three were interviewed. As with the other two schools the sample was not totally random nor made scientifically representative however it did include staff involved with appraisal as part of their management function. It also took into account variations in age, experience, responsibilities and gender.

One member of staff refused to take part in the interviews. He was an experienced member of staff, had been redeployed to the school about 10 years previously and was taking early retirement the following Christmas. As it turned out one of the interviewees had appraised this member of staff and was able to explain to the researcher the appraisee's feelings towards appraisal.

The interviews (apart from 'K's') took place on Friday 30th June, Monday 3rd July, Tuesday 4th July 1995. The deputy head was re-interviewed in the summer of 1996 as a check on data already collected and to ascertain whether there had been any changes regarding the implementation of appraisal.

## **Chapter 4. Contextualisation of the Schools Used in the Research**

Three secondary comprehensive schools were chosen for the research. They are geographically close with traditionally adjoining catchment areas. Since open enrolment they have been competing for the same pupils in many parts of the area. Though they are all established schools in the town serving both the older and the newer communities, their 'ethos' and recent histories have been very different.

The schools are situated in a new town built to accommodate and rehouse population from the older industrial areas of the midlands. New housing estates were built alongside the traditional communities. The town grew rapidly in the 1970s and early 1980s. Whilst still expanding at the time of this research the growth was now much more modest. The area had suffered from high unemployment in the recession of the 1980s. Though this was still high, the town has benefited in employment terms as high-tech South-East Asian companies have moved into the area.

A motorway runs straight across the town effectively dividing it into two halves, north and south, for school administrative purposes. The three schools, along with one other, provide the secondary education for the southern section. In the mid 1980s there was an attempt to reduce surplus school places. There was a proposal to close one school in the north of the town and one school in the south, initially School Two which was suffering from falling rolls. As all three schools had sixth forms, it was suggested that perhaps the closed school could be reopened as a sixth form college. After a vigorous campaign based on the need to maintain this distinctive school, School Two was reprieved.

In order to make their sixth forms viable the three schools agreed to form a sixth form confederation which shared teaching between the schools. This always proved problematic with the majority of sixth formers coming from School One and School Three. In 1990 the LEA announced that sixth formers in the south of the town would be taught at the expanded and already existing sixth form college in the north. This affected School One and School Three most in terms of numbers of pupils, prestige of the school and staffing.

Over the years, due to the national policy of open enrolment, there has been growing competition between the three schools to maintain or increase pupil numbers. This was the practical application of market forces. One factor which paradoxically served to bring them closer together but also at the same time make the competition between them fiercer, was the setting up of a city technology college (CTC) in the area. With surplus places already existing, this new purpose built, very well funded, eleven to eighteen school would have a profound effect on all other schools in the area. The chief education officer for the LEA announced that the growth of the CTC would lead to the closing of at least one school in the town.

In 1992 it was announced that due to surplus places, one school would need to close in the north of the town and one school in the south. The proposal was that in the south both School Two and School Three should close and reopen as one school. It had not been decided which site would be used. This highlighted how School Three had suffered from falling rolls and the loss of the sixth form in the early 1990s. Once again a vigorous campaign was launched by both schools and both were reprieved. In the north of the town two schools were closed and reopened as one. Despite the projected increase in pupil numbers towards the year 2,000 and onwards the threat of falling rolls is still very real to all schools in the area. It is now important to consider each school in turn.

## School One.

In 1968 \*\*\*\* High and \*\*\*\*\* Modern schools were amalgamated on the Modern school site to form one comprehensive school. The major part of the current school buildings were constructed at this time to cope with this enormous increase in numbers. The original 1939 brick-built accommodation was considerably extended with concrete-framed, flat-roofed buildings. To the intake of children from the existing locality were added those from a large newly constructed council housing estate. The school became an eight form entry, 11-18 comprehensive, using mixed ability teaching. Building has continued in the area since, with a large private housing estate running down one side of the school and on for several miles:

Most pupils come either from modern residential districts situated near to the school, where many houses are rented, or from older established settlements in \*\*\*\*\* and \*\*\*\*\* where the majority of houses are owner-occupied. In recent years the school has also drawn from residential areas in other parts of (*the new town*) outside its traditional catchment area. (OFSTED, 1995a, p.5)

This drawing of pupils from wider areas has particular implications for other neighbouring schools particularly those in this study.

In the late 1970s the setting of pupils replaced mixed ability teaching. The school developed a strict uniform policy and an emphasis on discipline. It was full throughout subsequent years and always oversubscribed. The number of pupils on roll in 1995 was 1216 and the year seven cohort in that year was *largest of all the year groups at 259 pupils*. The loss of the 150 strong sixth form had been made up for by the increase in pupils lower down the school. The school had been able to expand to its current size due to demand for places. This again had implications for other secondary schools in the area, affecting deleteriously their intake. In 1995 twenty three and a half percent of pupils were eligible for free school meals compared to a national average of just over sixteen percent. Four percent of pupils had statements of special needs (forty nine pupils), which was also above the national average, in that year.

The school became grant maintained (GM) in September 1993, one of the first in the county. During the period between gaining GM status and when the research interviews were conducted, over £250,000 was spent on new buildings and on improving existing accommodation. The proposed re-introduction of the sixth form started with a one year sixth in September 1994. The formal proposal to introduce a sixth form to the secretary of state was, however, rejected in May 1995 due to strong opposition from neighbouring institutions. The one year sixth was thus discontinued in July 1995 after running for one year only.

The school had three deputies but this was reduced to two in 1994 with the retirement of one of the post holders. Staffing was restructured to use the points lower down the school through, for example, the creation of senior teacher posts and scale 'D' allowances for special responsibilities. A third deputy was again appointed at Easter 1995 in anticipation of expansion due to the creation of the new sixth form. This was an internal appointment and this post was still in place at the time of writing.

In the summer term of 1995, sixty four percent of the teaching staff had taught for sixteen or more years. Nearly forty percent of them had been at the school for over ten years. Eighty four percent of the teaching staff were graduates compared to a national average of sixty seven percent. The school was growing and the number of teachers employed had increased by nine in that year. The staff profile was of an ageing, experienced staff, many of whom had been at the school for a number of years. There was also an influx of 'new blood' as the school grew.

OFSTED carried out an inspection of the school in January 1995, several months before the interviews for this research project were carried out. They stated that the school "has an established and deserved reputation" for being well ordered. It was said to have a strong ethos and to be well regarded by the local community. The head, supported by two deputies:

provides decisive and high profile-leadership and has played a decisive role in shaping the ethos of the school. (OFSTED, 1995a, p. 10)

Of the change to grant maintained status the report said:

Governors, staff and senior managers have clear views about the spirit and purpose of the school which are fully supported by parents. The school is decisively led by an experienced and capable senior management team..... The transition to self-governance has been successfully achieved, and new opportunities presented by the move have largely been capitalised upon. Administration and organisation are efficient and substantial value for money is achieved. (OFSTED, 1995a, p. 11)

The strength of the school development plan was noted in terms of planning and setting targets and also that governors were brought in at the end of the process. In relation to the quality of teaching, OFSTED (1995a) found that over eight lessons in ten were characterised by teaching that was sound or good. One lesson in three was characterised as particularly good with many strengths and no particular shortcomings. In the minority of lessons with notable shortcomings, these were seen as mostly the result of teachers misjudging pupils' learning needs or underestimating their ability. The only reference to appraisal in the report was,



There is a well organised system for teacher appraisal which is managed in parallel with the in-service training programme. (OFSTED, 1995a, p. 35)

At the time of conducting the research interviews, this school was full and oversubscribed, the senior management and staff were well established. Numbers of staff had increased. The school had a "good" local reputation. Its ethos stressed tradition and formality. This ethos and the stability of staff were likely to be reflected in day to day relationships and also in the running of an appraisal system.

## School Two.

Designed to take up to 1200 pupils (though it never reached that number), it was purpose built as an 11-18 community school in 1971, to accommodate population growth in the area. The school was to take pupils from a catchment area overlapping and to the south of School One and also from a second large new council housing estate.

Leisure centre facilities were shared with the local council and consisted of a swimming pool, ski slope, large sports hall and gym. The school was designed to be largely open plan to encourage team teaching and resource based learning. Teaching groups were mixed ability. In the summer term of 1995 there were 601 pupils on roll aged between 11-16. The 1995 OFSTED report on the school stated:

The reduction in numbers has largely been the result of local demographic factors and a reorganisation of post-16 education in *(the southern part of the new town)*. Around 400 places out of the original 1200 have been removed by leasing out part of the building. (OFSTED, 1995b, p. 7)

It should be noted that apart from demographic factors and the loss of the sixth form there were market pressures that have affected rolls of all secondary schools in the area. That is to say, open enrolment and competition for pupils amongst existing schools in the area, made keener by the opening of the CTC.

There was high unemployment in the area and in 1995, at the time of the OFSTED inspection, one pupil in three was entitled to free school meals, double the national average. In year seven the figure for free school meals was four pupils in ten. There was a significantly low proportion of pupils in the top twenty five percent of the attainment range. Over twenty five percent of pupils had identified learning difficulties. In the summer term of 1995, thirty four pupils had statements of special needs. This was double the national average.

There were thirty-four full time teachers in 1995, of whom a higher proportion than the national average were graduates. OFSTED (1995b) cited it as being an experienced staff with three quarters having taught for over fifteen years and more than half having taught in this school for at least ten years. The profile was of an ageing staff many of whom had been at the school for a large proportion of their teaching careers.

The 1980s were a difficult time for this school. In the mid 1980s falling rolls and a controversial HMI report led to the resignation of the head. A caretaker head and a deputy were brought in from outside. A permanent head was appointed after one term who saw the school through the loss of its sixth form, a threat of closure and staff loss due to continued falling rolls. This head left for a larger school in the late 1980s and the current post holder was appointed in January 1989.

The school had since fought off another closure threat; this time an amalgamation with School Three. Pupil intake steadied in the early 1990s, there was a drop in 1993 but 1994 and 1995 showed a marked increase. By the summer of 1995 the school was in the fifth year of a seven-year cycle of LEA transitional budget support through a period of falling rolls.

An OFSTED inspection carried out several weeks before the interviews for this research suggested that the school was now growing after its difficult period:

The school successfully helps pupils to develop within a caring and attractive learning environment. It has clear and distinctive values which are being increasingly supported by the wider community. (OFSTED, 1995b, p. 5)

The attractive decoration of the school was noted along with a high standard of display work and stimulus materials contributing to the ethos of the school. The quality and use of accommodation at the school was felt to be exemplary. The report stated that pupils behaved well and related positively to their teachers and peers. In the majority of lessons pupils made significant personal progress, though sometimes more ambitious targets could have been set. Pupils found the staff friendly and approachable. Praise and encouragement were widely used. Most teachers were said to use an appropriate range of teaching strategies. Teaching was generally of a good standard and, where it was not, this was usually due to a failure to meet the needs of all levels of ability fully. This could be seen as a criticism of mixed ability teaching:

The school appears relaxed and informal. There are plenty of examples of good humour. Pupils often converse with teachers in a friendly and personal way. Underneath this informality there are many well ordered systems and procedures linked to closely reasoned philosophical positions. (OFSTED, 1995b, p. 16)

These systems and procedures relied on influence and the management style rather than just authority, as the following two quotes illustrated:

The headteacher and two deputy heads work well together and provide capable and popular leadership. They are assisted by two other permanent members of the senior management team (a financial manager and a senior tutor), and two middle managers seconded for six months. Over time all middle managers can have a six-month attachment to the senior management team which is a productive way of training them and devolving some whole-school responsibilities to them. (OFSTED, 1995b, p. 16)

The involvement of staff in the development of policy was seen as an important part of the school ethos.

Leadership is positive, friendly and supportive..... Priorities for school improvement are agreed after widespread consultation and have the consent of all staff and governors. There is a need to devote more time to ensure that policies, such as those for homework, marking and assessment, work as intended in practice. (OFSTED, 1995b, p. 6)

This can be interpreted as a discrepancy between official policy and how people may operate in practice. It illustrates the micropolitical nature of such an organisation. On the surface there was agreement though the daily practice may have varied greatly. Thus there may be differing accounts of how things were actually done:

There are some constructive formal review procedures for such things as departmental and year team target-setting, staff development and appraisal outcomes, examination results and budgetary control. Fuller monitoring by governors and senior managers of how consistently policies have been put into action ..... would be beneficial. (OFSTED, 1995b, p.17)

This again highlights the difference between the declared system and how people actually operated:

There is a policy that supports the continuous professional development of staff. Each subject team identifies its development and training needs annually. Individual training needs arise as a natural outcome of the appraisal scheme which has been well received by staff and which is now in its second cycle. (OFSTED, 1995b, p. 17)

This statement should be considered in the light of the two quotes immediately above. In other words, the systems were in place, staff did not openly object but that did not necessarily mean that procedures were being followed, or that appraisal was working 'well'.

At the time of conducting the research interviews, it could be said that the increasing pupil numbers were leading to greater job security for the staff in this school. The actual staff number was likely to increase in 1996 for the first time since the 1970s. Though in an improving position in relation to several other schools in the area, School Two was still vulnerable. The micropolitical life within the school and the running of appraisal was likely to reflect these wider issues.

### School Three.

An eleven to sixteen comprehensive school, it is at the northernmost point of the triangle formed by the three schools. Built in the 1960s as an eleven to eighteen school to serve a large established area, it is situated on the edge of a post World War Two council estate:

It is located in a ward with fewer economic advantages than others. (OFSTED, 1994, p. 2)

The immediate area is made up of predominantly ageing post war housing. This created the problem of a decreasing number of 11-16 year olds which was more acute than in schools serving the newer estates with a younger age profile.

In 1994, just over twenty seven percent of pupils at the school were eligible for a free school meal. This compared with nearly twelve and a half percent within the LEA as a whole and just over sixteen percent nationally. Fifty pupils (roughly eight percent) had statements of special educational need (January 1994) placing the school in the top ten percent of schools nationally in terms of numbers of such pupils. Assessment of year seven pupils showed an intake of average ability, skewed towards the lower end in terms of reading ability. The school was streamed until the mid-eighties when pupils were placed in mixed ability teaching groups. At the time of the research it had a combination of mixed ability and setted teaching groups.

The school began to suffer from falling rolls in the early 1990s. It also lost its large sixth form of over 100 pupils at this time. In the early 1990s the head left to lead a local scheme encouraging pupil attendance and future employment (Compact). Under the new head the school continued to suffer from falling rolls. The school had 617 pupils on roll in January 1994 compared to 1200 in the early 1980s. Year seven comprised 108 pupils compared to 151 three years previously. The school was forced to lose seven staff at the end of the 1991/92 academic year. It was then involved in the fight against closure and amalgamation with School Two.

In the spring term of 1994, the total full time equivalent teaching staff at the school was just over forty-three and a half. This had fallen from seventy in five years as "various factors outside the control of the school have led to a reduction in its size." (OFSTED, 1994, p. 11). This reflected the increasing effects of market forces and the inability of the LEA to counterbalance these. Many staff were on protected salaries which led to a significant cost in the school budget:

A number of factors, including the falling school roll, the historic staffing structure and the removal, by the Local Education Authority, of the support to cushion schools against falling rolls,

The school was in financial difficulties which could not be easily solved:

A plan has been agreed between the school and the Local Education Authority which enables the school to reduce the deficit over the next five years. This plan requires a reduction of staffing costs, and governors and senior managers need to give urgent consideration to an implementation strategy in order to meet the agreed target. (OFSTED, 1994, p. 11)

This had significant implications for the careers of the existing members of staff, a large number of whom had spent many years at the school. In 1994, thirty five percent of teachers at the school were non-graduates. For approximately twenty percent of staff this was the only school at which they had taught and half of the total teaching force had been at the school for ten or more years. There were advantages to having a stable staff but in times of rapid developments in education this could cause problems in terms of keeping abreast of change and maintaining fresh approaches to teaching in the school. This was an issue for all of the schools in the study but perhaps School Three in particular. It was noted by OFSTED (1994) that new ideas on teaching and learning, differentiation and the role of the form tutor had been an integral part of recent in-service training. However they also noted that this training had, as yet, made little impact upon the quality of teaching and learning across the school.

In the summer term of 1994 the school was inspected by OFSTED. The head became ill in the period leading up to the inspection and took sick leave (never in fact to return). The senior deputy was acting head during the inspection period and was later appointed to the headship on a permanent basis.

The report stated that the school had clearly established values which promoted an orderly, purposeful and harmonious environment. The results in public examinations were below national averages in all subjects though in other respects the school was said to provide a satisfactory education.

The quality of teaching and learning was found to be variable but in the main satisfactory. In the body of the report it was stated that the quality of teaching in the school was satisfactory or better in almost eighty percent of lessons. In forty percent of lessons it was at least good. English, drama, history, mathematics and physical education lessons were given particular mention as being of a consistently high standard. One fifth of the teaching however was regarded as less than satisfactory.

It was felt that though teachers seen had a sound knowledge of their subjects, the range of teaching techniques displayed was limited. Group work, structured talk and differentiation were identified as areas which needed staff development coupled with more rigorous monitoring techniques. Classroom management and discipline were considered to be good. Thus it was lack of challenging work for pupils of different ability that was

being criticised. Certain departments were particularly cited for lack of imaginative teaching methods and not developing pupils to their full ability. The art, design and technology and information technology departments were specifically mentioned in this respect. Art was particularly criticised for lack of breadth in its curriculum:

The school should consider ways of extending the range of learning experiences for pupils, building upon the good practice observed in some subjects. (OFSTED, 1994, p. 11)

Pupil attendance and lateness were considered by the inspectors to be major issues for the school to address. OFSTED (1994) noted that not all teachers were following laid down procedures for monitoring pupil attendance and so strategies previously designed to improve the attendance of pupils had not been effective.

Though OFSTED (1994) found the school well managed by the acting head and deputies, it noted that the school development plan and the staff handbook were still in draft form and needed completing as soon as possible. Department development plans were seen as not specific enough with few departments producing detailed short and long term targets. The monitoring of department performance by senior management was said to be systematic but with little impact on achievement as yet. Monitoring of teacher practice and procedures by heads of department was seen as rare. OFSTED (1994) noted that the school had a number of set procedures outlined in the draft staff handbook. However, though systems were in place they were not always adhered to. Thus OFSTED (1994) was critical of the carrying out of management processes. This criticism extends to the one mention of appraisal in the final report:

Only 15 teachers have been appraised to date. The school should ensure that all teachers begin the appraisal process as soon as possible and within the statutory schedule offered by the Local Education Authority. The school should also link the in-service training programme to the appraisal system as soon as possible. (OFSTED, 1994, p. 33)

In the summer of 1995, just after the research interviews, there was to be a staff reduction of five. Two were taking early retirement, a teacher on a fixed term contract was not being replaced and two were being made redundant (though they had found posts elsewhere).

The school was rapidly contracting, pupil intake had fallen, teaching posts were disappearing and the school management structure was being reorganised to cope with shrinkage. The school was having to react constantly to events outside its control, such as national policies regarding the curriculum and competition between schools.

The OFSTED (1994) report highlighted some of the problems of an ageing staff, which needed reducing in size, as well as certain school management issues. These factors were likely to influence the style of teaching and the ability of staff to adapt and develop

in current climates. The possibilities for personal career development would also be affected. All of these issues were bound to be reflected in the micropolitics of the school. Appraisal and how it was viewed and implemented was also likely to be part of that political process.

In conclusion to this section it may be said that the three schools in this study are illustrative of many significant developments in secondary education. There was the issue of competition and its results in terms of expanding and contracting schools. There was an issue of grant maintained status and the effects that this had on relationships towards the LEA and other schools in the area. The setting up of a CTC had a significant impact on pupil numbers available for other schools and may also have created resentment in terms of equity of resources. All three schools faced the advantages and problems resulting from having a settled staff which was steadily ageing, an issue which is considered by Wragg et al (1996) in relation to appraisal and staff development.

Gewirtz et al. (1995) pointed out that the effects of national policy also depended upon the location of the schools in terms of local politics, geography and the social and economic context. Each of these schools needed to respond to national and local circumstances. Each was different in terms of its own history and the staff who worked there. The schools in this study were, in the terms of Blase (1991), vulnerable to a host of powerful external and internal forces.

The effects of appraisal as an external imposition can only be fully understood by taking into account the context surrounding each of the schools and the micropolitical life within these institutions. Teachers will interpret the introduction of appraisal in the light of their own experiences (Bosetti and O'Reilly 1996) and will react in a manner they see as appropriate (Salaman 1986, Lawn 1988, Bowe et al. 1992, Bottery 1996). Having looked at the context of the three schools in the study, it would now be useful to consider the introduction of appraisal in each.



## **Chapter 5. The Introduction of Appraisal Into the Schools Used in the Research.**

The three schools have been described and the influences upon them examined. Before analysing the interviews conducted with staff regarding their perceptions of appraisal, it is important to consider the introduction and setting up of appraisal in each of the schools. As the coordinating body, under the statutory appraisal regulations, the LEA had responsibility to ensure the implementation of the legal requirements within its schools. At this time all three schools in this study were under LEA control.

During the launching of teacher appraisal, the LEAs who were generally responsible as appraising bodies and also as INSET providers were operating in very differing circumstances. As Wragg points out (1994, 1996), most were feeling the financial squeeze and many were losing schools to grant maintained status. They were certainly all unsure of their futures. Thus the support in introducing appraisal and the training provided was very variable between LEAs.

The LEA in this research acted legally as the appraising body for most of the schools in the county at that time. It had responsibility for ensuring that schools complied with the statutory guidelines yet it also needed to allow schools freedom to develop in ways suitable to each establishment.

LEA responsibilities regarding the introduction of appraisal are outlined by Smith (1991). He suggested that a county framework needed to be provided; the introduction of the scheme to staff needed to be managed; and after implementation, the teacher appraisal scheme would need supporting, monitoring and evaluating. An appraisal framework was drawn up by the LEA of the schools in this research. Copies were distributed to each teacher in the authority as part of in-service training in 1992. In the view of Hughes and Jones (1994):

Probably more than any other initiative, the implementation of appraisal has called for sensitive management at both LEA and school level and the level of collaboration between the two has been instrumental in bringing about the aims of appraisal. (Hughes and Jones, 1994, p. 206)

A training day was held at each of the schools to introduce the LEA framework to the staff and to train them in appraisal. The LEA seconded a team of deputies and used them as trainers for all secondary schools in the authority. In each of the schools studied two trainers were used.

### School One.

The staff training day for this school was held on March 4th, 1992. A buffet lunch (with wine) was provided. The day was well structured by the trainers and avoided confrontation. It consisted of trainer led sessions, primarily didactic with opportunities for groupwork, feedback and discussion. The agenda included the appraisal cycle, purposes of appraisal and uses of appraisal. The activities involved filling in an appraisal preparation form, a video of interviews and how not to do them, and interviewee and interviewer practice.

Some reservations were raised by staff regarding the time needed to carry out the appraisal process. There were concerns about whether it would be worthwhile and if ultimately it could be performance related. People listened without getting either over-enthusiastic or upset. Perhaps staff were resigned to something which would have to be done regardless of what they actually said.

A working party was convened to draw up a school appraisal system, a strategy mentioned by Hughes and Jones (1994), as a means of involving staff. It consisted of a deputy head and a member of staff representing each of the scales (two for mainscale). Meetings were held by the representatives with their constituent groups before the main working party meetings to discuss what had been done and to feed back any staff comments to the working party.

There was a working party meeting on March 19th, 1992 and a full day on 6th May. There was an impromptu discussion at the end of this second meeting about the usefulness of appraisal. The deputy head was somewhat sceptical of the appraisal system. She said that if people were happy with what they do then they would not set more targets. Those not functioning well knew it and would not improve. In her view appraisal would not change anything unless linked to some form of reward. In contrast, 'R' the main scale representative, raised a point from a previous meeting of hers that at present the focus of appraisal was on personal development. 'R' said that people ask what the hidden agenda is - are 'they' not being open with us? The views of these two working party members reflected the lack of faith and trust on 'both sides', management and teachers, in such an ambiguous process, as identified by Goddard and Emerson (1992).

A further full day meeting of the working party was held on 21st May, 1992. The documentation on the proposed school appraisal scheme was checked and the final amendments made. All staff were given a copy of the documentation at a staff meeting on Tuesday 9th June which was called to outline job descriptions. They could look through it before a full presentation meeting.

The final documentation (appendix 2) was presented to staff on July 6th, 1992 in a full meeting after school (3.30 pm). The deputy head pointed out that the head had been

appraised, the first person on the staff to have been. She then went through the documentation of the appraisal process as a presentation using OHTs for the main sections.

The deputy was positive though the staff were very quiet throughout (silent in fact). No questions were asked at the end. (One member of staff said quietly within earshot of the observing researcher "don't ask questions," the aim being to finish as early as possible). The head having been the only one to be appraised so far was able to give comments on aspects of the process. However his presence tended to dominate the proceedings and stifle any possibility of discussion.

After the staff meeting, in conversation with some members of the working party, the researcher noted that talk was about how everyone seemed asleep. 'G' (later interviewed in the main research interviews) said that everyone was tired. 'K' (also interviewed later in the main research interviews) said that she feared that appraisal would die because of lack of funds for in-service training and staff development. "People expect promotion and this won't necessarily bring it." 'N' said that the first time appraisal statements were used within a reference the process would be dead. In other words people would not use it to develop, just to impress. The whole atmosphere seemed subdued.

On the way out 'F' (also interviewed later in the main research interviews) (a scale D postholder) and 'P' (a scale C postholder) were engaged in conversation by the researcher in the car park. 'F' (Head of House, has sought promotion in past years and had been at the school approximately thirteen years) said he thought that appraisal was a con. The management was setting up a system and the staff were being made to feel it was theirs and therefore having to go along with it. This resonates with Hargreaves' (1994) contrived collegiality. 'F' thought that the whole process was a waste of time. He said that \*\*\*\*\* (his wife, a primary deputy head) would talk about the prospects of development but commented that all senior management teams say that. He did question how long it would be before appraisals were used in promotion. "We've been told they won't be but who can believe that? What other use can they serve?" He said he agreed with records of achievement (ROAs) but not this. He thought that the government would see ROAs disappear but they would hang on to appraisal. He said that appraisal was low on his own priorities.

'P' (the Technical and Vocational Education Initiative [TVE] coordinator and head of business studies who had been at the school nearly ten years) agreed with this and said he felt that he had enough to do without thinking too much about appraisal. He admitted that he had not read any of the material outlined at the staff meeting beforehand because he had not had the time.

These conversations indicated a suspicion of appraisal. There was also an attitude that other issues were more urgent thus giving appraisal a low priority. These may be seen as aspects of intensification of the work process (Apple 1988, Gewirtz 1996) or as part of a strategy to ignore new policy requirements (Bottery 1996).

Members of the appraisal working party were interviewed before the end of term to explore their opinions concerning the introduction of appraisal and what they considered to be the views of those they had represented.

There were only five members of staff on scale A allowances. Two did not want to be on the working party, two were already involved in other developments so 'K' had agreed to be the representative.

At the first feedback meeting only one other person had turned up. 'K' saw this as a combination of letting the working group do the work, alongside a certain lack of enthusiasm, it had to be done and they would go along with it. According to 'K' the group members were not actively in favour and saw appraisal as one of the many things they had to do. One member was actively against appraisal though resigned to it as inevitable. The working group proposals were accepted.

'K' felt that the working group had been rather mechanistic and could only deal with the actual cycle rather than the discussion of the philosophy (her term) behind appraisal. The introduction of appraisal was thus for 'K' one of contrived collegiality where the agenda was externally set (Hargreaves 1994). Certain concerns were expressed; who would do it, confidentiality and what it would be used for. She said that those she represented hadn't seen appraisal as benefiting themselves. They were aware that it could be used more as a form of control in spite of what was said. Appraisal can in these terms be seen as increasing 'power over' teachers as indicated by Blase and Anderson (1995). Certainly staff realised that there was limited money available for INSET.

'K' also said that she was not happy with her appraiser but did not feel that she could say this without affecting her working relationship with him. This reflected the significance of her head of department and the way appraisal reinforced this. This was shown again in the later interview with 'K' after the appraisal had taken place.

'G' (head of English) represented scale D and E postholders. There had been no volunteers from this group. Her name had been put forward and she agreed to do it in order to know what was going on. The group had generally accepted the working group proposals.

There had been a problem as to whether job descriptions should be generic or broader based at the first meeting of this group. The union representative, a scale D postholder, had called a union meeting and then gone to see the head. This had annoyed 'G' because the working party was still discussing the issue and *was* operating within union guidelines. The head should not have been involved at that point. The situation was sorted out but she felt that the union representative's action had undermined the representative function she had been trying to perform.

She said that, notwithstanding this incident, people accepted the proposals without fuss. Her group had shown less concern than the mainscale group as they were appraising as well as being appraised. She used the expression 'they are cogs within the system'. The mainscale group may have felt at the bottom of the pile. She said that

concerns had been expressed about confidentiality and what appraisal statements were to be used for but the head had pointed out that he would not use them for promotion or for references and that he saw them solely for staff development. (The interviewer pointed out that this depends on whether one believes the head. She nodded agreement)

Personally she thought that it was about time there was something like appraisal and that perhaps it could be linked to promotion. 'G' saw appraisal as helping her to run her department and conducting the process a proper part of her management function. This links appraisal very much to management purposes and the need to manage in line with industrial models as Mortimore and Mortimore (1991) have outlined.

The scale D and E postholders like the A postholders seemed resigned to the working party's proposals though they had expressed similar fears. 'G', perhaps like other managers, saw appraisal as a useful management tool for her when running her department. In seeing its usefulness for deciding promotions she was attaching an evaluative use to appraisal. This was an indication of the management desire for information to help manage and 'improve practice'. Appraisal could thus be used as a form of monitoring and surveillance even though this was actually being presented as school effectiveness by those who would be administering it. This process was pointed out by Reay (1996) and remains another indication of altering management practice.

'N' was selected by the scale B and C postholders to represent them. Rather than holding meetings, he put reports from the working party in people's pigeon holes so that they could report to him individually. He said that there had been concerns early on about confidentiality and what appraisal statements were to be used for. One person had expressed concern about his or her appraiser. Generally, though, he had not received much feedback.

The scale B holders raised similar issues with their representative as did the other scale groups. The fact that no meetings were held for this group of staff showed either that they were resigned to the working group proposals or that 'N' did not really wish to be troubled with difficulties. He believed that the system would change greatly after the first few years. He hoped that appraisal could turn out to be positive but he feared that it may eventually become a quick tick list and routine task as in the forces. This was also one of the fears expressed by ACAS (1986).

There were two representatives on the appraisal working party for mainscale teachers. 'Q' was an English teacher in her second year of teaching. She expected that appraisal would be operated via line management. She said that she was open about her work and asked for help. This attitude could be said to reflect her position as a new member of staff from which she held a view of the extended professionalism of teaching outlined by Hoyle (1980); open to development, hopeful of promotion, not entrenched in her practice and therefore able to accept criticism and advice. It could be said that she had not been fully colonised into the culture of established teachers (see Hargreaves 1994). 'Q' did say

teachers were funny, they did not admit problems or seek advice, they just shut their doors. This isolation was what Leggatt (1970) saw as weakening teachers as an occupational group.

In the mainscale group of teachers Q said that people were worried about what appraisal would be used for. They were not enthusiastic and saw it as an imposition. Many had been at the school for years and had never been observed teaching. Practical problems were mentioned such as time and unhappiness about the choice of appraiser. There was concern as to whether one could realistically change appraiser when he/she was one's head of department. Some staff thought that appraisal would disappear or was just something else they had to do. There was an underlying feeling, rather than an open display, of hostility. She referred to the staff meeting the previous week when the deputy presented the working party's results to the staff and no one spoke.

'Q' said that appraisal would only work if people showed trust and confidentiality. This echoes the views of Evans and Tomlinson (1989). She mentioned the English department as an example. Here several members of the department were mistrustful of appraisal. The head of English ('G'), however, was in favour of what it could do. 'Q' described herself as realistic, having more of an open view. She said that she would wait and see what happens. 'Q' thought that appraisal would be of use to those who wanted it to be. For most it would be just a mechanical exercise.

'R', in a brief corridor interview, said that in the mainscale group people saw that they had to do it but were not enthusiastic. At the end of that term 'R' left for promotion and 'Q' was promoted within the school. This perhaps is indicative of how many staff involved in working parties are likely to be seeking career advancement.

The working party met on 25th May, 1993, almost a year later, to consider how to evaluate the first year of the first appraisal cycle. Certain issues previously mentioned were again aired. 'S' the new mainscale representative said that some mainscale staff had asked if appraisal was worth the effort? It was felt that there was a tendency to focus only on strengths and that consequently it was not developing them even though it may have made them feel good. There was still the worry of confidentiality and whether staff could dare to be honest during the appraisal. There had been an internal promotion to head of house several weeks before this meeting. Even though appraisal should not have been used in this context there was a feeling that it could have influenced the head's decision. What is apparent from these points is that feelings of mistrust surrounding the use of the appraisal process can affect how staff respond to it. This point has been made clear by a substantial amount of the literature (Winter 1989, Bell 1988, Evans and Tomlinson 1989).

The deputy said that perhaps mainscale staff felt most threatened because they had only the classroom to look at. Others higher up the hierarchy had more scope. 'K', the A scale representative felt that those on the lower pay scales were more worried about how appraisal could be used and she suspected that the process would move towards PRP. These

teachers' fears have been noted in other evaluations of appraisal (Williams and Mullen 1990, Holmes 1993, Wratten 1995) and fuelled by later pronouncements (Shephard 1996, Woodhead 1996, TTA and OFSTED 1996).

An evaluation pro-forma designed by the deputy was looked at. Dates were agreed for giving it out to staff and collecting in. The next meeting was arranged to consider the results.

The results of the evaluation of the appraisal cycle were collated by the working party (in appendix 2). The results showed that the elements of the appraisal process had been carried out and that staff had a favourable view of the experience. These findings replicate those of other evaluations (Kyriacou 1995, Barber et al.1995, Hopkins and West 1995, Wratten 1995, Wragg et al. 1996).

Certain points should be noted concerning the content of the evaluation and the interpretation of the results. There was only a fifty percent response rate. This may have caused a significant halo effect due to the differences between those who did reply and those who did not. This low response rate was perhaps a product of the lack of involvement by many staff in the whole consultation process. The questions were about the mechanics of the appraisal process and not about the issues which were of concern to many staff, such as the confidential nature of appraisal and what the appraisal process might be used for in the future. Thus, although the evaluation appeared positive, it may not have given a full account of the feelings of staff towards appraisal.

In summarising the introduction of appraisal at this school it may be said that the initial staff training day saw the LEA responding to a legal requirement upon it. It had to ensure the setting up of an appraisal system in accordance with the national regulations and its own LEA guidelines. The whole programme was tightly organised and staff had little chance to influence the events of the day.

A working party was set up ostensibly to involve all staff in the development of the school appraisal system. Members of the working party were either persuaded to go on by others or were perhaps wanting to be involved as part of their career development. The scale D representative was interested in future career advancement and departmental management (see interview with 'G' in chapter 6). The two mainscale representatives both gained promotion whilst on the working party. It was noticeable that there was difficulty getting replacements for these two people on the working party. This reflects a point made by several studies, that some teachers strategically use newly created structures to enhance their career opportunities. In other words, though many lose from policy changes in terms of greater control over their work, others benefit from the personal opportunities that these bring (see Ball 1987, Ozga 1995b and Hargreaves 1994).

Working parties imply that staff at all levels may be involved in an initiative. In this instance the working party may have been used by management as a way of implementing something which could be perceived to be unpopular or a threat. Ultimately

the working party did not have much leeway in its proposals. A deputy chaired and effectively steered the working party throughout. Many staff felt it was a process they had no say in. This may account for the lack of enthusiasm from members of staff generally. In the terms of Busher and Saran (1994) this was an example of process involvement of staff rather than content involvement.

This example of contrived collegiality (Hargreaves 1994) could have been used by management to divert accusations of imposing an appraisal system upon staff. Certainly disagreement was kept to smaller group meetings from which the representatives were to report back to the working party. Management was in the difficult position of legally having to implement an appraisal system which was likely to prove controversial. In Hoyle's (1986) view the management here could be said to be adopting what it saw as an appropriate strategy in terms of school micropolitics. Such a working party approach has been suggested in many guidelines and appraisal manuals (Jones 1993, Poster and Poster 1993, Hughes and Jones 1994).

The evaluation of appraisal had appeared positive but half of the staff did not reply. This raises certain questions about the significance of appraisal to them and their perceptions of the impact their replies would make.

Thus an appraisal system was put in place. It was organised upon line management principles as suggested by Those Having Torches (1985), the National Steering Group Report (1990), Circular 12/91, and many texts on staff appraisal (Fidler and Cooper 1992, Jones 1993, Mortimore and Mortimore 1991, Jones and Mathias 1995). In Winter's (1989) conception it was a product as opposed to a process model of appraisal. No consideration was given to alternative forms of appraisal such as peer appraisal or action research (Burgess 1989, Elliott 1991, Humphreys and Thompson 1995). Staff were generally not enthusiastic about the introduction of appraisal. The evaluations showed that for many the first round of the process went smoothly, though the working party members indicated that there were concerns amongst the staff. This perhaps, once again, reflects the uncertainty about what the underlying aims for appraisal were in the light of its introduction.

In the responses of teachers to new legislation, outlined by Bottery (1996), there were some examples of staff having embraced the appraisal process but more seemed to be ignoring it or waiting to see the outcomes. The interviews for the next phase of the research were carried out in the summer of 1995. This was when many members of staff had completed the second cycle and others were at the end of the first year of the second cycle. Analysis of these will shed more light on the feelings of individuals and how perceptions about appraisal varied amongst the staff.



### School Two.

On March 12th, 1992, the LEA presented the same programme at School Two as at School One. Even lunch took the same format. The staff reactions and questions were also similar.

A significant announcement was made to all staff of the town's schools on Friday, 8th May. As a result of surplus places, which had increased with the opening of the local CTC, the LEA was proposing that School Two and School Three should shut and reopen as one school. The same thing was to happen to two schools in the north of the town. The local press ran it as front page news and from now all four schools under threat of closure were running campaigns to stay open. This illustrates the view of Gewirtz et al. (1995) that, in terms of market developments in education, much depended upon local politics, geography and the social and economic context.

After asking for volunteers, the head of School Two had set up a working party of four members of staff and himself to represent different groupings of staff, basically along departmental lines. The working party designed an appraisal system for the school. The head actually produced most of the material which the working group would then discuss and amend. These were presented to the staff, in their separate groups, on 1st June, 1992 after school. The result of the meeting was the Staff appraisal booklet - "Staff Appraisal 1992-1994" (in appendix 3) which outlined the appraisal system at School Two.

A questionnaire for this current piece of research was given out via each working party member to be completed by all staff at the end of this meeting. The questionnaire was designed to obtain initial responses to appraisal. The response rate was mixed depending upon which appraisal group respondents had been in and the replies were difficult to analyse in any qualitative manner. As a result of this experience it was decided only to use interviews as the main research data.

Three members of the appraisal working group were interviewed before the end of term to determine their opinions on appraisal as well as responses from the groups they were representing. 'N' said that he was volunteered for the working party in his role as staff development tutor. He said that "it was a hand up the back" but he felt that he had little choice.

'N' said that the head had led the working party and he tended to bring things to the meetings for them to ratify and change. He felt that this was bound to happen because of the head's experience of appraisal at his last school. 'N' sorted out who was to appraise whom in his group. The school system gave the staff an element of choice in appraiser (which the LEA objected to). Staff were still to be appraised by a person higher up the hierarchy than them. They also had to pick someone who knew about their job. Thus in the end there was no real problem. Appraisal was to be still basically line management.

'N's group felt that appraisal had to be done. Members were not worried about the process of appraisal. However, there were worries that it could be used at the amalgamation of School Two and School Three to decide on any reallocation of posts. He felt that this might lead to it being introduced in a very low key manner and not done as fully as envisaged due to peoples' fears. Thus uncertainty about future purposes influenced the views of appraisal held by some staff (Bell 1988, Winter 1989, Evans and Tomlinson 1989, Goddard and Emerson 1992).

He suggested that staff could see how they might benefit but were sceptical as to whether the promised development could be delivered as resources to do this were limited. It was felt that it could end up a waste of time, an exercise that had to be gone through. This was a fear also expressed by ACAS (1986).

'C' (also interviewed later in the main research interviews) volunteered for the working party. He helped the head in sorting out the paperwork for the process. 'C' effectively became appraisal administrator when 'N' suddenly left during the subsequent holidays; evidence again of how some benefit more than others from new legislation and are able to advance their careers through it (see Ball 1987 and Hargreaves 1994).

'C' said that the head put the appraisal process and documentation together and it had been thrashed out during four or five one hour sessions of the working party. All documentation was made in A4 to keep it manageable. He, like all the appraisal representatives, had asked group members whom they wanted to be appraised by. Appraisees could have chosen their appraisers from higher up a department or pastoral line or a member of the senior management. The majority of staff had been given their first choice. The only real problems were when mainscale staff chose a member of the senior management team. This was problematic because of the other commitments of the senior management. There were thirteen appraisers in all on the staff.

'C' said that the general view at his group meeting was that it had to be done so people might as well as make the best of it. One difficulty was in the group meeting coming just after the announcement of the school closures. This was a distraction to talking about appraisal. The head had already said to 'C' that perhaps those who chose year heads as their appraisers this time should choose department heads in the next round.

'P', the school teacher librarian, had volunteered to go on the working party. She wanted to take part, having had a positive personal development interview the previous year. 'P' saw appraisal in a similar way to Jones (1993), as part of a process for extending the professional skills of teachers and the improvement of schools. Thus it was something which should concern all teachers.

Her staff group was basically made up of English and special needs teachers. She had felt rather nervous about this as some members of the group were rather too assertive for her. 'P' was very positive about the head and said that he was the best she had worked

for. In her view the working party had talked through appraisal with him and he had adapted the material in the light of feedback.

She felt that her group of staff had been split in three ways. One third was quite happy and wanted appraisal. One third was unsure but prepared to have a go. One third was opposed to the process but knew that it had to be done and that there was no point in arguing. Some staff had thought it best to wait until the school closure problem had been resolved. 'P' herself felt very positive towards appraisal and was keen to start so that they could get 'into it' and reap the benefits.

The interviews with these three members of the School Two working party indicated the difficult position the staff were in regarding their future and the danger an appraisal system may hold for them. It is also interesting to note how many staff were able to see positive outcomes from the process within the ethos of their own school. This has been recognised by Williams and Mullen (1991) who found that teachers saw the professional benefits from appraisal whilst at the same time voicing concerns about its possible uses. Wratten (1995) also noted the reservations amongst teachers at the introduction of appraisal.

The staff evaluation of the first year of the first cycle took place just over one year later on July 12th, 1993. Several days previously the head had been interviewed by the researcher. He said that he would like to see appraisal become part of whole school development. He was to introduce a programme of review and development for departments in the following September the results of which would be seen by everyone and would point out INSET requirements. Heads of department would also be given a budget to meet INSET needs.

The head saw this process as involving more staff in the type of school evaluation and improvement process identified by Evans and Tomlinson (1989). He also hoped that it would aid teamwork within departments, a feature identified by Deming (1986) and Scholtes (1995) as important in improving quality. The importance of linking appraisal into whole school planning has been identified by many studies (Jones and Mathias 1995, Hopkins and West 1995). The introduction of this programme of review and development could also be seen as part of the institution of internalised surveillance within the discourse of school effectiveness (see Reay 1996). This may indicate how the professional nature of teachers' work alters as the nature of management control over them changes as Bottery (1996), Ozga (1995b) and Gewirtz (1996) have suggested.

At the time of the interview (and, as it turned out, permanently) the INSET coordinator and leader of an appraisal group was off on long term sick leave. The head had done his job all year. He pointed out that he was thus able to coordinate INSET requirements from the perspectives of both appraisal and departmental needs. As head, he saw all the appraisal statements and was in charge of INSET coordination. The head was central in formulating the school development plan and also the departmental INSET

budget. This illustrates the power of the head (see Bush 1995) and how he had managed to extend his control (see Hoyle 1986).

He said that most staff had been reasonable in INSET expectations (except for one request for secondment) and that they realised the low level of available funding. He said that most had found their first appraisal satisfactory but that there could be a sense of *deja vu* so there needed to be a change in the next round. He was looking to be adaptable to keep it useful.

The head claimed to favour an open approach to management. Paradoxically he was also in tight control in terms of direct oversight of many of the management systems. This control would increase with the development of the department review programme. There was also a strong indication (which he had intimated to 'C') that he would start to change appraisal when the first round was over.

The appraisal evaluation took place as a staff meeting. The head began by outlining the leaflet "The Future Direction of \*\*\*\*\* School" (appendix 3) which had been previously circulated to staff. The school had survived the threat of amalgamation during this year but the prospective intake size was down on expectations by about thirty. The head pointed to the Keele survey of parental attitude towards the school which had been conducted and the survey of the current year seven parents, both of which had indicated a positive response to the ethos of the school. He felt that the ethos was right even if the current climate in education was hostile to this. He also said that management and staff should be positive and look for ways forward in the development of this school. There was a need to consider strategies and to plan. The head made it very clear that this was not a call to become grant-maintained. This was an important local issue as School One had just achieved grant maintained status. This again demonstrates the impact of local, political and social issues on the school.

The meeting broke into appraisal groups to discuss their experiences via a series of evaluation questions drawn up by the working party. The representatives were to summarise the discussion and feed back to the head. This was an interesting form of evaluation as it involved everyone and promoted discussion whilst not producing quantifiable data. 'C's' group was observed by the researcher. The questions were about the components of the cycle. The replies were positive about how the appraisal process had been carried out. It was felt that appraisal had been introduced in a sympathetic way, perhaps reflecting the importance of careful management; this is in keeping with the findings of Hughes and Jones (1994).

Wider issues were also touched upon; it was felt that appraisal should be kept in house and as informal as possible because of the political nature of its imposition. 'E' (also interviewed later in the main research interviews) said, and there seemed widespread agreement, that the head and the ethos of the school had made it 'okay'. According to 'E', it could now just roll along. It could be presented politically as part of the government's

'successful' reforms. 'Q' was worried about the possibility of PRP though it was pointed out by 'C', and endorsed by others, that it could not be introduced within this present system. As with other evaluations (Holmes 1993, Wratten 1995) the staff seemed satisfied with the introduction of appraisal but were aware of its potentially threatening implications.

In a similar way to the previous school, the initial training day saw the LEA responding to the legal requirement upon it. Once again the school staff had little chance to influence the events of the day. External forces were made more overt for this school with the announcement of the proposed merger and the ensuing campaign to remain open. This was a product of the government policy of market forces which resulted in schools having to compete against each other for pupils to survive (Lawton 1994, Ball 1994)

There was in this school, as in the previous, the setting up of a working party. The head played a key role here and the working party effectively 'rubber stamped' his ideas. Once again this may be seen as an aspect of contrived collegiality and process rather than content involvement of staff (Busher and Saran 1994). Staff became members of the working party for different reasons; one was effectively forced, one volunteered because she thought appraisal a worthwhile process, one was seeking promotion and therefore wished to help the head. This range of reasons reflects the different attitudes to the implementation of any new policy to which Ball (1987) alluded.

The head had acquired control of all aspects of the school evaluation and INSET procedures. At the same time he appeared to have the support of many members of the staff generally. This is perhaps a reflection of the way professional leaders share their followers' professional culture (discussed by Busher and Saran 1994). It also mirrors what was said in the introduction to the school's OFSTED (1995b) report. The head's oversight would increase as the new review procedure was put in place. He was already thinking ahead to moving appraisals towards department lines. This would link appraisal in with other monitoring procedures. This indicates how a process may be altered in management's favour, once in place (Apple 1988).

The staff meeting evaluation of the first round of appraisal showed an awareness of national influences. The staff felt that the introduction was going as well as could be expected. The discussion was wide-ranging and reflective. This illustrates how the collaborative cultures defined by Hargreaves (1994) may still have a place in school management. It is debatable as to what extent this was content or process involvement. The appraisal system in place at the school was basically line management with a minor variation rather than the peer or action research systems suggested by collaborative cultures (see Winter 1989, Burgess 1989, Elliott 1991, Humphreys and Thompson 1995).

The feelings towards appraisal amongst the staff did vary. There was widespread feeling that there were many other more important issues and that for many staff, appraisal was a case of test it, followed by wait and see, in the Bottery (1996) conception. The interviews for the next phase of the research were carried out in the summer of 1995.

These shed more light on the feelings of individuals and how the perceptions of appraisal varied amongst the staff.

### School Three.

A meeting took place in February, 1992 between the researcher and the deputy head responsible for appraisal. The purpose was to discuss appraisal at the school in relation to this research. The head interrupted the meeting and told the deputy that he was going to issue a press release. Seven teachers were to be made redundant as a result of falling rolls. The staff concerned had been told that morning and it had been leaked to the press. Coincidentally, there had been a preliminary staff meeting on appraisal the previous evening. The deputy said that it had been quite positive. A governors' meeting later that evening had named the seven to go.

There was a staff development day on 25th March, 1992 following the same format as that held at the other two schools in the study. An invitation to attend was not extended to the researcher and it was difficult to ask in such a tense atmosphere. On Friday May 8th the announcement to staff at all the towns' schools that School Two and School Three were to shut and reopen as one was made. These events illustrate the effects of market forces and also the particular local political and social circumstances of this school (see Gewirtz et al. 1996).

On Monday, 8th June, 1992 the researcher met with the deputy head to show her the questionnaire to be completed by the staff which she had previously agreed to. She was now very reticent and said that perhaps it would be better if just the working party completed it. The researcher offered to talk to the group. The deputy did not respond and asked if she could be given more information about the research for her to pass on to them. She said that their working party was large, about fourteen or fifteen and not yet ready to report. This sounded unusually large and unwieldy. She envisaged them presenting the finished product to the staff, rather than constantly reporting back, as those who wanted to be were involved. She appeared to be trying to keep the researcher away from the staff, perhaps to avoid embarrassing questions being asked. This shows how a gatekeeper may try to channel the researcher in some directions as opposed to others in the way that Hammersley and Atkinson (1995) have indicated.

On Wednesday, 17th June, 1992, after the experience with the questionnaire at School Two, it was decided not to use them at School Three either. The deputy was contacted and told that the school would be avoided in the research until after that summer when the redundancies had been made.

The deputy showed the researcher the school's paperwork on appraisal (in appendix 4) in a meeting with her on 17th June, 1993. She said that they had not got very far that year because of other problems, such as fighting the proposed closure. This had been a great distraction and not the climate in which to introduce appraisal. They had

ignored the county directive to have the whole staff appraised by summer. They hoped to have a small number completed by then (in single figures) but to be carrying out appraisal fully in the following term. The evaluation would not be feasible until the following year (she seemed not to have been aware that School Two, which had also been under threat of closure, had been meeting the appraisal requirements).

It appeared that, though there was an appraisal system on paper, very little had actually been carried out at School Three. Management was at that time leaving it up to individuals to start and hoped in the next term to use peer pressure to complete the process.

Appraisal had been a very sensitive issue in this school because of the threat of closure and the budget restrictions which had already meant redundancies. The school was due to have an OFSTED inspection in April 1994. A short time before the inspection the head went on sick leave never to return.

The deputy head was trying to present a calm picture but there was much turmoil and uncertainty under the surface. The school illustrated many of the characteristics of the ambiguous model of organisations outlined by Bush (1995). The apparent disorganisation and difficulty in setting up and carrying out appraisal reflected uncertainty within the school and the relative power held by individuals and groups within the organisation's structure. This was perhaps made worse by the turbulent context in which the school was operating.

Appraisal systems were set up in each of the three schools following national and LEA guidelines. The procedures were clearly laid down. In two of the schools the first year of the cycle had been carried out and evaluated by the schools themselves.

In each of the schools the whole introduction emphasised professional development. The general aim seemed to be to develop the school by developing the staff (see Jones and Mathias 1995). Staff had been involved in the development of the systems and confidentiality within appraisal assured.

Teachers were also aware of the imposed nature of appraisal. This produced conflicting images of its purposes and how it could be used in the future. It has been stated that for the professional development model of appraisal to be effective there needs to be trust between those involved (see Evans and Tomlinson 1989, Goddard and Emerson 1992). At this time there was, amongst the staff of these three schools, an element of suspicion as to the purposes of appraisal. As Bell (1988) has explained, teachers' responses will depend upon how they see these purposes. Appraisal may have been introduced sympathetically but there were questions as to the usefulness of the process and how appraisal could be used in the future. Elliott (1993) has pointed out that if proposed change comes from management and that if teachers themselves are not involved then classroom practice is unlikely to alter.



Each of these secondary schools had been subject to national policy implementation over recent years. They illustrate the changes in teaching and the nature of management of teachers which may be regarded as intensification of the work process (Apple 1986, Gewirtz 1996) and also as deskilling (Ozga 1995b). They have fared very differently from each other in recent years which is a reflection of local political, social and market conditions.

In each school themselves the legal obligations in terms of appraisal were carried out differently. Teachers interpreted new policies, as Bosetti and O'Reilly (1996) have implied, in the light of their own beliefs, values and experiences. Bowe et al. (1992) have commented that the development and implementation of policy at each stage involves active interpretation and 'meaning making'. Lawn (1988) has pointed out that teachers are able to use many methods to resist increased control over their work.

How appraisal develops will depend upon the circumstances in which each school operates as an institution and also upon the differing perceptions and attitudes of members of staff. Thus these organisations and the teachers within them are coping with and, responding differently to, intervention from outside (see Ball 1987). The main interviews of members of staff, carried out in the summer of 1995, revealed the sort of issues of power and authority within the schools, as they related to the teachers involved, which Hoyle (1986), Bush (1995) and Blase and Anderson (1995) have outlined. The research also indicated strategies adopted by individuals or groups of teachers in the face of policy innovations.

## **Chapter 6. Transcription and Analysis of the In-Depth Interviews.**

### **School One.**

The interviews from this school have been analysed in terms of the interviewee's position in the school's hierarchical structure, starting with senior management and moving downwards. When the interviews were conducted, the staff should have either completed or been half way through their second appraisal cycle.

The deputy head ('A') was interviewed as part of the senior management team and also in her role as leader of the appraisal working party. She felt that the setting up of a working party had played a significant role in the trouble free introduction of appraisal. One disappointing development, in her view, had been that the head teacher now only interviewed heads of department individually on an annual basis regarding examination results whereas previously he had seen all members of staff. The introduction of the formal appraisal system, then, had led to the demise of an informal arrangement seen by 'A' as productive. She felt that this was a shame as in the past everyone had had a chance to speak with him individually. This perhaps is symptomatic of the increasing separation of management and staff identified by Grace (1995).

'A' said that regular evaluation through departments fed into the school development plan. She felt that appraisal should be part of this process if it was to be of use. They were, at the time of interview, half a term behind in the appraisal timetable as a result of the recent OFSTED inspection but were on course to catch up by the end of that term (summer 1995). This slippage due to OFSTED happened in many schools according to Barber et al. (1995). 'A' felt that some staff had benefited from appraisal through such things as courses and that others had benefited without realising it. The appraisal targets as well as the INSET requirements were supposed to go to the INSET coordinator but they were not prioritised which 'A' saw as a problem when it came to linking INSET requirements with school development planning. She said that appraisees needed to be proactive too in seeking out INSET opportunities which would help them fulfil their targets.

'A' saw the confidentiality of appraisal as a problem which had made it less effective in improving actual teaching. Only the head had access to the appraisal statements which came out of the interviews. This was also noted by the TTA and OFSTED (1990). 'A' felt that development tended to be outside the classroom and that the process lacked a cutting edge especially in terms of observation. The deputy said that as a result

there was less direct effect on the pupils. Any professional development resulting from appraisal was "not in the business of teaching." This point was reinforced by findings of Barber et al. (1995), Wragg (1996), TTA and OFSTED (1996).

She felt that targets also needed to be sharpened so that they moved people along. Perhaps there could be separate personal and professional targets. The process of target setting, in her view, needed "firming up". This would make the review stage more significant. Hopkins and West (1995) commented upon the importance of target setting, as did the TTA and OFSTED (1996).

She had appraised the four pastoral heads in the first appraisal cycle but had since changed to heads of department as her role had altered. 'A' found that the process took time and that the role and skills of the appraiser were very important. This may be evidence of how some staff find new policies will extend their professionalism whilst others are deskilled (Ozga 1995b):

It's more difficult being the appraiser than the appraisee. I would say the strength of appraisal is how good the appraiser is, and I suppose as well you have to have a willingness on the appraisee..... anybody who is being negative must be very hard going. But again, it still comes back to how does the appraiser cope - how do they manage it?

The head was her appraiser. She said that he was uncomfortable with the process. They had disagreed with part of the statement and it became rather a battle of wills and she felt that she got little out of the appraisal. This perhaps explains her point about the skills of the appraiser.

'A' felt that appraisal had been satisfactorily introduced but needed improving. In her opinion the appraiser needed to take more of a lead. This illustrates how a process may begin to change its nature when in place, as Apple (1986) has indicated. Her views reflect management concerns to get concrete developments out of the process. She was concerned with classroom performance and observable practices. This was similar to the desires expressed by TTA and OFSTED (1996) and Woodhead (Carvel 1996).

Her proposed changes could enable appraisal to improve teaching in the school and ultimately benefit the pupils (see Fidler 1995a) or they may have been part of the discourses of school effectiveness and new managerialism working together to ensure teacher compliance and increased internal surveillance (see Reay 1996). This would help, as Ozga (1995b) saw it, to ensure 'smooth production' and eradicate problems.

'B' had been teaching for thirty-one years. Twenty-eight of those years had been at this school. He had been head of house, head of technology and was currently senior teacher. He felt that he had got as far as he was going careerwise. 'B' said that he would have liked to have become a deputy in the past but not now because of all of the paper-

work involved with the post. This perhaps implies the increasing managerialism associated with the role of the deputy, reflecting the intensification in all areas of school life (Apple 1988, Gewirtz 1996).

'B' was responsible for INSET and staff development. Thus appraisal management had been handed to him. He explained how INSET money was allocated to meet the school development plan (SDP) targets through whole-school and departmental allocations. There was a contingency fund for individuals whose needs were not met through the SDP, such as if a teacher needed a change of focus for personal reasons (though expense was always a consideration). Any individual INSET requests (not appraisal targets as 'A' had suggested) to come out of appraisal needed to be passed to him. He tried to alert individuals and departments to specific courses if he could remember their particular needs; in addition he posted all INSET activities on the notice board for people to see. However, he pointed out that individuals needed to be proactive in seeking out their INSET opportunities.

'B' had appraised five teachers and felt that he had helped them in small ways. Relationships were improved and he felt that he had learned things to use in his own teaching. These points were also mentioned by Kyriacou (1995). 'B' did say that targets were sometimes difficult to set when people were good teachers and well settled.

He had been appraised once by the head but his second cycle had really stopped at the time of this interview. This was due to the OFSTED inspection delaying everything and subsequently the head going to South Africa:

That's partly because when we came to OFSTED I said don't worry about appraisal, we're being appraised from the outside as a school ..... lets just worry about the one thing at the moment, the OFSTED. So, we didn't actually carry out appraisal during that term.

This again illustrates the pressures of OFSTED inspections and the 'slippage' due to other priorities (Barber et al. 1995).

He felt that the head had seemed more nervous than he was at the initial meeting but the process went smoothly. 'B' set his own targets which were things he knew he had to do. He said he enjoyed having someone look at what he did and check that it was okay. 'B' felt that the effort he put in as appraiser and appraisee had been worthwhile.

Reflecting the findings of Wratten (1995), 'B' did feel that appraisal was brought in to check up on and weed out poor teachers. There were also links to early suggestions of PRP. However he felt that these dangers had been avoided:

Oh I feel quite cynical that ..... the government was checking up on teaching, it was weeding out bad teachers. But I think, rather cleverly people steered away to the left and made it a very much better thing.

'B' saw the likelihood of appraisal becoming a routine chore as more of a danger. He felt that appraisal was useful but that if you asked staff when under pressure they would give a different answer:

I think that when they actually do it, they think it's beneficial. I think there are times when they would answer that it's a waste of time. And they'd answer it's a waste of time often depending on when you ask them. If you ask them when they're under a lot of pressure then it would be a waste of time.

Though he suspected the reasons it was introduced 'B' felt that appraisal was important and that it had professionally benefited himself and others. However he saw it becoming a paper exercise if one cycle just followed another. People would just complete it as routine with no opportunity to actually implement change, one of the reservations of Hattersley (1995). His management problem was fitting the appraisal process into individual and departmental development, mainly due to the confidential nature of the process. This again tallies with a criticism made by the TTA and OFSTED (1996).

Of the middle management level (D equivalents) five teachers were interviewed. One was site manager who had been head of house, two were currently heads of house, one was head of house and had just been promoted to deputy and one was head of English. They each had different career expectations, past experiences and views on appraisal.

'C' had taught for twenty-four years, twenty-one of which had been at this school. He was head of house for fifteen years and had this year become site manager. This was a move he felt in need of as he had felt stale and negative in his old job:

I needed to make the change and I think the school needed me to too because I think there's a finite amount of time that you can do in any one job and still remain fresh, committed ..... if you don't see an avenue out I think negative thoughts start coming in. It's given me a new impetus - I think new jobs always do.

He would not move from this school and expected to retire here. 'C' felt that the National Curriculum had taken the spontaneity from teaching and that standards had fallen in his subject. He felt that levels of discipline generally had declined in school, something he put down to the wider society. 'C' was a disciplinarian and believed in order. This paradoxically had brought him into conflict with authority in the past.

Initially he had seen appraisal as a way of weeding out the weak teachers and an attempt by the government to punish the profession, a view held by teachers found in other evaluations (Wratten 1995, Holmes 1993):

The way things have gone over the last 15 years, and I'm the biggest Tory this school's got, I saw it as a way of getting back at teachers for 1983, when teachers stuck out against the government and won, and 1986. I felt that they were going to get us sometime because there was no way they'd accept defeat. But having gone through it - that might have been the intention - but it hasn't worked out that way.

Contrary to his expectations, he had found appraisal useful and thus his suspicions about motives had subsequently waned. Suggestions were made which he had adopted although he did feel that one needed to be confident in the appraiser and respect him or her. 'C' said that appraisal did make people tense and encouraged them to try harder but he felt that this showed that they cared. He would not like to have seen it scrapped but conducted over a longer term, once every five years perhaps. The question of why he would like to see appraisal carried out less frequently, if it was as useful as he suggested, is interesting.

'C' felt that managers should already know what individual teachers were like anyway. He would not have expected appraisal to be used for redundancy or PRP purposes. It had not worked in this way, although that may have been the original intention:

If they were to change the goalposts then I'd have to think about it. If it were performance related pay then it would be a complete breakdown in confidence in the education system and I'd seriously question that. I don't honestly believe they've got the energy or commitment, or the country behind them anyway.

'C' seemed loyal to the management system. It had recently released him from his head of house role which had become arduous and given him the freedom to do a new job he now enjoyed. His views could be attributable to loyalty to his sponsors.

By way of contrast 'D' had been teaching for nineteen years and had spent the last sixteen at this school. He came as head of P.E. and was promoted to head of house which he had been for the last eight years. (He felt this to be three years too long). Though he still enjoyed P.E. teaching, he no longer enjoyed the head of house job:

For two or three years it was a challenge. There was a lot of new things going on, you learn an awful lot. Yes, I think I probably did enjoy it for a while. But, there's an awful lot of negativity attached to being head of house in this school. You're dealing all the time with problems, and that becomes wearing.

He felt that the sparkle had gone out of his work and he needed a new challenge. He had tried unsuccessfully for deputy and was now looking for a sideways move or even out of the profession. 'D' had applied for an internal deputy head post at the start of this term which

he did not get. This had perhaps influenced his cynical view of his position and the management of the school:

I'm trying very hard to get out. The plan has been for some time that I'll be able to apply for .. deputies' jobs, senior teacher jobs. I haven't been successful. I'm looking now at some kind of a sideways move. I'm retraining in computers and those sort of things. Looking to remove myself. Because I don't intend doing this for another seventeen years 'til I retire.

As head of house he had been appraiser of someone who did not want to be appraised by her head of department. He had a good relationship with the appraisee and thought that it had gone smoothly but questioned the worth of the whole formal process:

Worth is an interesting word isn't it? I think (*appraisal*) is always worth doing. I think teachers should do a lot more on an informal basis, as well as this formal situation. Whether appraisal is worth it in terms of meaning this teacher was then able to do an awful lot of staff development on herself, and .. whether the institution benefited from this is very doubtful really.

He had been appraised twice by two different appraisers. Though he did not particularly like the first appraiser, it had not affected the process. The first time he had been quite enthusiastic but found that the targets were soon forgotten:

At the time they were set, I really felt that it was quite useful. I'd got something to latch on to ..... In practice the inset was cancelled for one reason or another and I ended up doing something different.

He was not even sure what the targets were now:

The bottom line is, once it's over with you think oh well that's it, it's over with for another couple of years. I can get on with what I was doing before.

He thought that when appraisal started there was a certain idealism behind it, that it could be beneficial, but now people had become cynical and regarded it as a chore. This response seemed to reflect his change in promotion chances. 'D' suspected that the introduction of appraisal was:

a knee-jerk reaction by a government that wanted to be seen to be trying to do something about what it perceived to be bad teachers... they were probably quite clear at the time that it would be a fairly useless exercise, but it kept the papers busy.

The process of appraisal appeared to 'D' as non-threatening in how it had been set up but it was not useful either. This view resonates with the findings of Nixon (1995) who found that many staff had not found appraisal threatening but also that it had not met their needs. In 'D's' view the management was not really interested in helping it to work. What he saw as needed was a different culture in the school, one that was open and promulgated a sharing of ideas. This was not currently the approach adopted, in his view, at this school:

I mean this school does have a culture of not being terribly tolerant with people who can't control classes of kids.

The supposed benefits of appraisal were seen as:

nothing that couldn't accrue from perhaps having a culture where a lot of teachers .. observe their colleagues on an informal level, shared good practice and had a natter afterwards about lessons.

He saw professional development through openness and sharing of ideas. This shows true collaboration leading to changes in pedagogy due to the development of discursive consciousness (Elliott 1993). 'D' said that this needed to come through the school culture. This culture was not something he saw as developing at this school. He resented the line management approach and would have been in favour of a form of peer appraisal which he saw as more useful. 'D's' disillusionment with his career perhaps had influenced his feelings towards the school management.

'E' had been teaching for nineteen years. He had spent the whole of his career at this school. He had started as a PE teacher and had enjoyed several internal appointments. In this academic year he had been promoted to head of house. He found this a demanding job which he had to learn as he went along, with advice from colleagues. The post could be stressful, with heads of house in a difficult position, often caught in the middle between staff and pupils and parents.

He did not feel he had the academic ability to be a deputy and expected to continue with this job for the next ten years. He planned to do his last five as a mainscale teacher before retiring. 'E' seemed to have his future mapped out.

'E' was enthusiastic about his work, perhaps due to the recent promotion and thus the feeling of personal development and challenge that 'D' was missing. However he also saw appraisal as of little use to him and viewed personal development in terms of the openness and collegiality involved in a collaborative culture (Hargreaves 1994).

They operated closely in the P.E. department; team teaching, watching each other, sharing ideas. He felt that they already did appraisal informally on a collaborative



basis. The formal appraisal just got in the way. When it came to the appraisal of a recent newly qualified teacher in the department 'E' said:

I just felt it was a paper exercise formalising what I'd already been doing. So, what I basically did within the appraisal was to write down already what we had considered over the previous 12 months. We knew what his strengths were and we knew what weaknesses there were, we knew that certain things are only going to come with time and practice and what have you. So in many ways the appraisal didn't help that, didn't add to it do you know what I mean?

He did say that, unlike informal appraisal, with this you had to be careful what you wrote as it was kept and went to the head. It was just another formal system to go through. This view indicates awareness of the potential of appraisal as a means of checking on teachers. It also reflects a mistrust in the stated purposes of appraisal when it was first set up (Goddard and Emerson 1992). This wariness by teachers has also been expressed in evaluations of appraisal by Wratten (1995) and Holmes (1993).

He had been pleased by the comments made in his appraisal but he would have set the targets anyway. 'E' felt that formal appraisal was not worth doing. He said that if you are a professional and care about your job you would carry out the process informally anyway. The head and everyone else already knew how you operated and a quiet word was likely to be as effective as any formal appraisal:

I've been doing this job for a term, she (*the deputy*) stopped me in the corridor, 'can I have a word?' What's up I thought, I've done something wrong. She said, 'I just want to say, I think you're doing a brilliant job.' And that meant the world, you know, the fact that somebody actually noticed. But I didn't need appraisal to do it. People notice the job that you do anyway, all the time, you're open, you're there, you get stuck in. People know what sort of person you are.

He did have earlier fears of appraisal being linked to pay but realised that this could not be done as people would be too complicit. He suspected that appraisal was introduced to watch and control teachers. This view is similar to that held by many in terms of increasing managerial controls (Ozga 1995b, Reay 1996, Ball 1994, Gewirtz 1996). 'E' felt that appraisal could not do this nor identify problems or even probably benefit staff. If it could not produce any benefits he suggested that people would go through the motions and collude. This demonstrates an awareness of how policy was adapted and changed at every level and how staff were able to respond in their own interests (Lawn 1988, Apple 1986, Ball 1987).

'Es' second appraisal should have started several months earlier. Problems of family bereavement, OFSTED and pressure of work for both himself and his appraiser had caused it to be continually put back:

- E. "He (*appraiser*) said to me, you don't have anything to worry about, you do a good job and everything. He knows the job I do, he could fill in the appraisal form without any, without seeing me."
- Q. "So you think that's what might happen in the end?"
- E. "Well no, we're gonna try and do it, but, you know what I mean?"
- Q. "Nod and a wink?"
- E. "Yeah, it's not going to make any difference. Really, he knows the job I do."

Thus 'E' saw an extended professional approach to teaching as important. This was based on openness and receptiveness. Appraisal was seen as inappropriate and a waste of time as it did not help in this process. It could not be threatening either because of how people operated. Thus teachers were able to resist, accommodate and subvert the process (Bowe et al. 1992, Bottery 1996).

'F', in a passing conversation several years previously after a staff meeting on appraisal (recorded within this report in the section on the setting up of appraisal), had regarded appraisal as a cynical control move by the government. He had said that management was trying to make teachers feel that it was 'their appraisal system' thus developing a contrived collegiality. He was then in what could be seen as a similar position to what 'D' was in currently; perhaps feeling jaded, in a head of house job, having done it for years and having missed promotion.

'F' had this term accepted a deputy head post at the school after an internal interview. This had, according to himself, caused a certain amount of ill feeling between several members of staff on similar levels within the school. His view of appraisal appeared to be changing with his position. Once again in passing conversation, he said that he now saw appraisal as potentially useful in moving members of staff on in their practice and in improving teaching. He realised the cumbersome nature of the appraisal process but felt that something was needed to do this task. He now appeared to have adopted a management stance himself on appraisal. This perhaps illustrates the separation and distancing of different levels of management and staff identified by Ball (1991) and Grace (1995).

'G' was interviewed in the summer of 1996, one year after the other interviews at this school, to act as a check on validity and to monitor any significant developments over the year. As head of English 'G' was responsible for a large and important department in the school. She had taught for fifteen years and had been at this school for seven of these. She came as head of English. She had recently returned from maternity leave and was getting used to balancing child care and the requirements of the job. 'G' was interested in career advancement and would like to move on to a deputy headship. Having been on deputy preparation courses before maternity leave she was at present keeping up to date with educational developments. She hoped to begin applying for posts again when her domestic situation settled into 'normality.'

'G' had been on the staff appraisal working party, which she saw as useful career experience. This again illustrates how some staff gain from policy innovations. She had said that there were originally worries amongst some staff that appraisal was introduced to weed out weak teachers. However she thought that appraisal had been introduced carefully at the school and that these fears had been allayed. This demonstrates a view of the importance of careful management of such a process (Hughes and Jones 1994). To 'G' appraisal now appeared to fit well into the school year.

As head of department 'G' thought that appraisal was important. She had appraised three members of her department and wished that she could appraise them all. 'G' felt that she could link the appraisals in with the department's development targets where possible, whilst also being aware of individual needs. In this way she could help the appraisees to achieve their targets. 'G' thus viewed appraisal as part of a management function to improve the quality of education. As such it should fit into wider school management processes (Fidler and Cooper 1992, Mortimore and Mortimore 1991, TTA and OFSTED 1996).

She did see one problem likely to arise in the next round in that she had worked closely with an appraisee in setting targets for her to move into a certain area. A suitable internal post had come up and the appraisee had not been appointed. 'G' was aware of the disillusionment this was likely to cause and the problems of motivating her in the future.

She felt that appraisal had also helped her get to know her department members better. They did discuss all issues to do with their teaching in department meetings. Sometimes they would bring up things from their own appraisals in these discussions. She could also include issues raised during appraisal at these times, being very careful not to breach confidentiality. The power which this gave her in her position was mentioned by the researcher. She was chairing meetings and also having a confidential knowledge of each individual, a significant issue of 'power over' others (Blase and Anderson 1995). She replied that she saw a need for individual development which could also be used for departmental development. She did not feel this was an issue of control over individuals.

'G' reported mixed experiences of appraisal herself. Her first appraisal was fine, though interrupted by pregnancy. Her second appraisal was rather disappointing as her new appraiser was rather lax and not really bothered. She still saw appraisal as important, to be used for running her department. For her appraisal could be said to be a management tool which may help individuals. Though she may not have admitted it, appraisal could prove useful as a monitoring and control mechanism for her over members of her department. Thus in the terms of Bottery (1996), she had 'embraced' appraisal and it possibly enhanced her position within the micropolitical life of the school.

The responses of these middle managers show how perspectives on appraisal differ and are linked to their working lives. 'F' was previously cynical about the purposes of appraisal but with promotion to senior management thought that perhaps it now had a place in improving the practice of teachers. 'C' also saw a need for something to keep people on their toes. He had a more favourable attitude to appraisal after a pleasant experience and also perhaps since recent promotion. 'E' on the other hand had the new challenge of promotion but still did not see appraisal as beneficial. He saw a more open, sharing professional approach as likely to encourage staff to develop. 'D' was disillusioned with his work and felt stuck. He also saw a need for a more open approach to teaching which could only come through a change in ethos. 'G' saw appraisal not in terms of her own development but as an aid to managing her department. Her use of appraisal could be interpreted as giving knowledge of, and therefore power over, members of her department.

In terms of less senior management two members of staff were interviewed. 'H' was in her eighteenth year of teaching. She had been at this school for eight years and had come as head of chemistry. She enjoyed the teaching and the comradeship but disliked the growth in paperwork, particularly for GNVQ which she had been involved with during the year.

'H' had been on a C scale this year for oversight of the sixth form which would be discontinued from the end of this term. She did not want to embarrass the head into having to find her a post and she had asked to go back down to a B scale. Also she had been ill and would like to get back to full health. 'H' was grateful for the promotion and would have liked to move to the pastoral side if possible but realised that this was difficult. She accepted that there was little chance of moving school because of her age and expense. Career was not a burning issue with 'H' but pleasing if it happened.

She had appraised one member of staff who had been satisfied with the outcome in that it had not been unpleasant or threatening:

- H. "It's not so much that appraisal itself was beneficial to this person. It was the fact that he didn't feel threatened by the way it was carried out. Now there's actually a subtle difference."
- Q. "Yes there is"
- H. "It's not that he felt the appraisal process was of benefit, it was more the fact that, it went through peacefully and therefore he felt reasonably happy with it. Are you with me?"
- Q. "In other words, the appraisee can turn around and say, well at least we've got that over with."
- H. "Yes exactly"

She had asked for a different appraiser from her line manager. Her appraisal had been fine and she had received useful feedback. However she did find it time consuming and it had made little difference to her work. 'H' didn't really see the point of the exercise. It was geared to the appraisee and this could not be altered without it appearing threatening. She felt that it was introduced by the government to raise standards but it wasn't going to do that.

'H' thought that each school should set up its own system rather than have one which was government imposed. She would rather have seen appraisal dropped and something else completely different introduced. "People can be praised or given a kick up the backside without appraisal." This was a call for 'debundling' the whole process (Scholtes 1995). She had enjoyed her appraisal but found the benefits not worth all of the effort. Appraisal was not seen as a threat or management control, just a legal obligation. Her experiences showed how an appraiser may make an onerous process bearable. They also demonstrate how the novelty of having someone listen can make appraisal seem worthwhile initially in the way that Deming (1986) has indicated. 'H' said that she would like to see more open observation so that people could learn from each other:

It would be nice if we could all have opportunities to go into each others' lessons and watch how different people tackle things.... in my view that could be far more valuable than spending the time doing this kind of thing. If we had the same amount of time available, instead of all this form filling and writing reports, we actually went into each others lessons, we'd pick up such a lot.

Thus once again there was a desire for a more collaborative approach to the development of teachers moving towards forms of discursive consciousness identified by Elliott (1993). This would have involved a shift from a bureaucratic product model of appraisal to a process approach as outlined by Winter (1989). A collegiate approach is implied, based upon peer appraisal stemming from an action research perspective.

'J' had been teaching for ten years, the last six or seven of which had been full time. She had started teaching after raising a young family. Previous to this she had done secretarial work and bookkeeping. All her teaching had been at this school. Her main subject area was keyboarding skills and related business studies. She had an A allowance for careers. 'J' enjoyed the teaching and careers work but disliked the increase in paperwork, particularly with GNVQ.

The constant changes and lack of stability in what she taught were a worry for her. She was concerned about her future as keyboarding was not to be taught from the following September, also GNVQ would disappear as year twelve left. This meant that her timetable would consist of more PSE and perhaps IT. Thus this teacher felt deskilled as technology and the curriculum changed (Apple 1986). 'J' felt too old for a career move and would have been happy to stay where she was. 'J' did feel vulnerable and perhaps surplus to future requirements in this school. When asked how she saw herself developing in the future she replied:

It's out of my hands really. I've got no control. I feel as though I'm at an age now where I'm too old to apply for anything else, really. Obviously - if you've been teaching quite a while the salary is such that somebody out of college is going to steal the job.

There were symptoms here of proletarianisation due to less job security, having no control over what was taught and being increasingly under management supervision. The feeling was perhaps one of employee as opposed to professional (see Ozga and Lawn 1988, Ball 1991).

'J' had been appraised twice. The first time was very positive. She had always worked closely with her appraiser and had confidence in him. She had asked for more careers time in the interview and had been given some later. (she didn't know if this had been as a result of the appraisal).

She had been given a new appraiser for the second cycle whom she was less happy with. She had not asked to change though. This person was in charge of personal and social education (PSE) and careers so it did make sense. 'J' did not trust this person as much as the previous appraiser and was not totally open with him. She would tell him some things but not others. Thus her lack of trust in the process, linked to the individual appraisers had determined her response. Unfortunately the appraisal statement had been lost by this appraiser and she feared that she may have to go through the whole year again. This was something she did not welcome after what she saw as having been a stressful year because of the OFSTED inspection.

'J' related a difficult situation that she had found herself in several months earlier. She had been moderating examination folders with an external examiner. They

discovered that one of the submissions had been wrongly marked. The examiner asked her to write a comment noting this. She realised that the marker was her appraiser. She apologised to the examiner, explained the situation and declined to report the case herself:

That could have put me in a very awkward situation ..... I wouldn't put my name to anything, because at the end of the day I was being appraised by that person.

When asked if she felt that appraisal had in some way controlled how she operated, she replied:

Well it has done now. But I didn't realise that at the time. It only opened my eyes to what it could lead to, how it could affect my work or the assessment of my work, if a situation like that did arise.

When asked her opinions of appraisal 'J' felt that there were not likely to be many personal benefits from staff development so late in her career. It was seen as a way of checking on people when career opportunities were not there. She feared that it could be used to reduce staff in the future and that teachers had to be seen to be doing a good job. In other words everyone needed a good appraisal. She felt that it probably did not influence promotion and rather cynically added that this depended much more on whether your face fitted.

'J' wanted to be positive but was disillusioned with her second appraisal and also insecure about her future. She was not in a position to be honest about her work for fear that it may be used against her. The potential for professional development was thus outweighed by the threat of appraisal (Elliott 1991, Goddard and Emerson 1992). Her reaction to the process reflected her insecurity and mistrust.

'K' had been teaching for sixteen years in all and had been at this school for the last twelve after a break of six years for child rearing. She was on a B post with responsibility for staff cover. She taught science and had some responsibility for chemistry. She had worries about some of her teaching groups and found the job stressful but did enjoy teaching. Though she may have wanted promotion to head of department eight or nine years ago, 'K' now expected to do five more years, until she was fifty and then retire.

'K' had appraised one member of staff. She felt that it had been a supportive process in the short term but with little lasting effect in the form of INSET for the appraisee or changes in his/her actual teaching. The first round did help them get to know

each other but the second round was more of a cosy chat. These were also criticisms of appraisal noted by the TTA and OFSTED (1996).

'K', who was a member of the staff working group, had on earlier occasions voiced apprehensions about the appraisal process. Perhaps due to the social skills of her appraiser she had found it a more pleasant experience than expected. She did the self appraisal but was very nervous about the observation. Perhaps this was an indication of her insecurity and underconfidence:

Having said I was quite comfortable when I was an appraiser, when I was on the receiving end, even though it's somebody I know really well, worked with a lot, I did actually feel very nervous, ... and I certainly felt very nervous about the classroom observation.

'K' did feel quite good about the interview and statement. She felt it had certainly improved her relationship with her appraiser and she was very impressed with how he handled the whole thing. It did boost her confidence.

She recognised the fear that appraisal was set up to check on teachers and in the early suggestions was linked to pay:

You try and kid yourself that it's all very positive and this is going to help everybody. But the fact that's on everybody's mind when you're on the receiving end is, well, this could be a disaster. Is it what's wrong with what I'm doing that's going to be picked up on? Is my job going to be on the line, that's another thing. I mean, you know there's been a lot of redundancies in (*this county*). Is the head going to look at the appraisal statements and pick out somebody from that who is the one to go? I mean logically the answer to that is no, but the fear is there.

She did not think that this could be done with the present system. It would have to be tightened up with fewer appraisers used and she suspected that the head did not even read them.

'K' did wonder about the overall benefits of appraisal and felt that it could quite easily be dropped. Even so she did feel that she had benefited and that it had strengthened teams:

It would be very easy to say I think the whole thing's a waste of time actually, it would be very easy to do that. But I can't say that on a personal level because it did make me feel good.....I suppose the most important thing for me is to be valued for what I do every day. I think the most awful thing in any job is you actually feel that you're not valued. And I think probably appraisal made me feel valued.



Her initial fears of how she could be 'shown up' by the process were allayed, and she had felt better after it and more valued. This was also the case for teachers in studies by Holmes (1993), Hattersley (1995) and Kyriakou (1995). This may reflect how vulnerable she felt in her position and her fear of management. Her earlier trepidation of appraisal perhaps indicated the authority of the head of department over her. When he enabled the process to proceed smoothly his authority was enhanced in 'Ks' eyes. This showed the skill of the appraiser in carrying out the process (see Deming 1986) but also how ultimately it reinforced his position. In this way appraisal may be a means of management maintaining or extending its control (Hoyle 1988). Decisions about who appraises whom may add to already increasing levels of differentiation between tiers of management (Grace 1995).

'K's' fears were very similar to those of 'J'. They were also well matched in career and status position. There was amongst these long term members at the lower end of the pay scale not only a feeling that appraisal would not benefit them but also a mistrust of official organisation practices; perhaps a feeling of threat or insecurity. There was also a certain amount of cynicism.

Newer members of staff tended to have a different view of appraisal and saw the need to check and improve standards as legitimate. Perhaps because they were at the start of their teaching careers they were idealistic. They also had less of an investment at stake, in that they had not yet spent many years in the job and were therefore more willing to change. They were perhaps less entrenched in the organisation and ways of working. They had not as yet been 'balkanised' in the terms of Hargreaves (1994).

'L' was completing her first year of teaching. She was expecting to progress in her career and looked for future developments. As yet she was unsure as to whether she wanted a head of department position because of the administration involved.

She felt that perhaps standards had fallen in schools but that this was also the fault of government and administration as much as the teachers. Teachers had so much more to do. She had been observed twice a term in this year and felt that she was doing a better job than many others on the staff:

I think I'm doing a better job than some people! Cos I do think I'm really committed to it and I can see other people in the school who aren't. They're just doing it for a pay cheque and it annoys me really. I take it seriously.

Thus 'L' felt that some teachers were not performing as well as they might. She was not aware of the appraisal process and when it was outlined she said that it sounded safe and would not address the problems. 'L' suggested that perhaps people should be observed once a year and not have a choice over lessons to be observed. The aim should be to help rather

than threaten so as not to generate fear, but if needed it should be hard nosed, for instance if people did not improve. In this way she felt that teachers would be properly accountable and monitored since they carried a weighty responsibility for education. This monitoring approach was in sympathy with the views of Shephard (Rafferty 1996) and Woodhead (Carvel 1996):

I can imagine people getting really worried, and 'oh my god, I could be sacked,' you know I wouldn't like it to be to that extent at all. But I think, you know, perhaps verbal warnings or discussions and kind of meetings you know, to make them aware that they've got to kind of pull their socks up. I wouldn't like to think anything major would go wrong, you know, obviously. If they had enough sense they would make sure that lesson was a good one.

Thus 'L' brought to teaching both idealism as to the importance of the job, along with public conceptions that standards had fallen and that teachers should be monitored and held accountable. Teaching was viewed by her as an unproblematic activity, at least in terms of what 'should' be done. Professionalism was seen in terms of classroom competence and delivery. This represents, in Hoyle's (1995) view, a restricted view of professionalism in reducing teaching to competencies. Appraisal to 'L' appeared to be primarily a quality control exercise.

'M', like 'L', was at the end of his first year of teaching. He had several years experience in industry and a Ph D. in geology. He was on a one year contract to teach physics. He was leaving at the end of term and taking up a new post in Norfolk. He had not yet been appraised but had been observed frequently in this year and had discussions and feedback with his head of department, with whom he felt he had a good relationship.

He saw the idea of appraisal as important for management feedback and as information for promotion. It was a way of keeping people focused on their job and as an important part of career development. 'M' assumed that watching people was a natural part of management awareness. When asked if it would be important to him in the future he replied:

Well obviously it will be, because .. for a lot of the time that's how, senior management are getting their feedback on you. ....If you're planning to get promoted, or move up the ladder it's going to be very important to have good appraisals all the time. To be seen to be doing your job well.

Thus appraisal was seen as a form of checking and people should have attempted to move forward by the next appraisal, a view shared with Woodhead (Carvel 1996). 'M' assumed that such a process was normal and was not new. He had been appraised in industry by a system which he saw as useful for employer and employee. This perhaps showed how

education could take 'on board' practices from industry (see Mortimore and Mortimore 1991).

This was a rated system linked to pay:

They add all the scores that you've tallied, and ..... if you got a four you could get a pay rise, and if you got a three you'd stay where you were, if you got a two they, they'd sort of, .. take it further, cos it means you weren't doing your job properly. So a lot of people would go in there like jellies, you know, thinking I'm gonna get a two, even if they'd been working really well all year.

This illustrates the damaging effects of a rated appraisal system spoken of by Deming (1986) and Scholtes (1995). 'M' had seen how it worried some people but it had not affected him. He did admit that this was perhaps because he was young and also well qualified; he was not jaded or cynical and still had ambitions at the start of his career. This could be said of both appraisal within his new teaching career as well as within his previous industrial one.

'M' was confident and found the constructive criticisms of his head of department useful. He was also aware of cynical attitudes in many teachers:

Anything you can be cynical about at the moment they're cynical about. And there's very little positive attitude to anything. I think everyone's very tired and everyone's very fed up with their jobs. They see the job as not anywhere near as much fun as it used to be.

Though he understood the reasons for this, 'M' regarded it as part of the culture which had developed. These views were he believed, not just held by the older ones:

It can be quite a depressing place to be actually, when you get a group of three or four teachers sitting together in the staffroom.

'M' saw the importance of a positive attitude. He felt that basically most teachers, at least at this school, were positive and would listen. He considered that appraisal may well help the pupils ultimately.

'M' had a developing career ahead of him. He was used to being watched and given advice. Thus aspects of appraisal which may have been seen as checking or control he saw as beneficial to himself and legitimate on the part of the organisation:

All the way through since leaving my first degree at Aberdeen I've had people watching me, and I've always thought it was a completely natural thing. Never thought well, why was it introduced, I just thought it was an obvious thing to do. If you've got someone in a job, your gonna want to know how they're doing and how they feel about what they're doing, if you're management.

He had not been totally immersed yet in the 'professional culture' and did not feel identified by the stereotype of teacher. He also had little power within the school and so did not feel any threat to his autonomy. Thus appraisal was seen as a management information exercise, nothing that was not expected.

These new members of staff saw line management appraisal as a perfectly legitimate part of running schools and improving education. They seemed to accept the values which underpin much school effectiveness research and theory as outlined by Elliott (1996).

## School Two.

The respondents from this school have also been analysed in order of their hierarchical position in the school structure. When the interviews were conducted the staff should have completed, or be about to complete, the first year of their second cycle.

The head ('A') was appraisal coordinator in the school as well as being at the centre of all other monitoring and information gathering systems. He had not wanted the staff to go through a heavy appraisal cycle at this stage in the year after having just completed an OFSTED inspection. He had suggested that staff be sensible and that observations only be done if necessary. This shows how the implementation of legislation can be influenced at every level (see Bowe et al.1992). It also shows a lack of consideration of the importance of the observation process (Wragg 1996). The head's legitimization of this was that they had all been observed recently anyway. They also often saw each other teach due to the open-plan nature of the school.

'A' suggested that the culture needed to be 'right' to conduct appraisal and department reviews. The school was open plan; learning support had been integrated into the subject lessons; heads of year dropped into lessons to check on pupils. The head himself was about the place asking questions and talking to staff. He hoped that these sorts of things helped to take the fear out of appraisal. His aim was the development of a culture of openness. He felt that once staff got used to others being around they would actually feel safer in terms of issues like pupil discipline.

'A' reviewed each department and tutor team three times per year. This involved visiting each department and year base, observing the teaching and discussing the work in progress along with any possible future developments. These reviews were conducted by the deputies as well as by the head. Staff filled out an annual INSET return; departments also had INSET budgets which the head signed. Coupled with the appraisal statements and targets, the head saw all the information gathered from staff and departments. The head said that he was then able to make informed judgements concerning INSET. This also was linked to his involvement in school development planning. Thus appraisal was just part of the whole system:

It's very much within the whole thing. It's like a tapestry isn't it really? Appraisal is just one part, one patch on the quilt.

This link was also seen as important by management theorists and evaluations of teacher appraisal (Trethowan 1991, Fidler and Cooper 1992, Hopkins and West 1995, TTA and OFSTED 1996).

The head suggested that they did not need appraisal, as such, due to existing monitoring and evaluation systems. He did feel that not all schools had these and that, in such cases, appraisal would perhaps be needed. He would not, however, drop appraisal as he feared that the personal discussion may then not take place for some staff. He also felt that individuals did benefit from appraisal:

My experience is it's not so much the classroom observation, although being in another teacher's classroom can be very edifying, and educating, but the part which most teachers, I think have enjoyed, perhaps not here, because over the years it's been built up here, with me for seven years. But, which I found before, was the chance to sit down and talk about their work, about themselves and their professional needs and their career needs. I think that there is a message in there about, it's the kind of Hawthorn effect, somebody's taking an interest. So, I would say that appraisal is effective because hopefully you're getting people to think about what they're doing and change but you've also got a conversation going on there.

'A' felt that the important issue was the climate within the school which they had been developing. This made evaluation and questioning a normal part of teaching. This is a view of the professional nature of teaching. Thus appraisal in 'A's' view, could be accepted without threat.

The head talked about developing staff collegiality and also linking appraisal to teams. Following this he talked of sharpening up the school processes and making heads of departments more responsible for talking to their staff and managing them more.

He had thought of developing observation to look at one issue for all, such as questioning techniques. This would develop a whole school focus. He also felt that he needed to look at choice of appraisers as "County" had complained at him not strictly following departmental line management.

There was, in this interview, a confusion of messages. The head talked of collegiality, developing teams and an ethos of openness and questioning. He also suggested that appraisal was not needed, as such, due to the other systems in place. The observation component has been officially neglected by the school on this appraisal cycle. Here he was showing concern for the professionalism of teachers. However he did not wish to abandon appraisal on the grounds that some staff may lose personal attention. He also talked of sharpening the current procedures and highlighting the role of heads of department in managing their areas. There was possible conflict here between developing staff professionalism through reflective practice and collaborative procedures and, at the same time, strengthening departmental managers and their control (see Schon 1983). The image of professionalism may be being used to increase both management control (Ozga 1995b) and a contrived collegiality (Hargreaves 1994).

'B' was deputy head and had been teaching for twenty-eight years. He had been head of P.E. and head of year at his previous school before moving to School Two twelve years previously. He was appointed as a temporary stand in deputy after the HMI inspection and later accepted a permanent post. He had applied for headships but was settled at the school. 'B' was very loyal to the school and spoke about how things were beginning to improve and said how he now felt sorry for two other schools in the area who were having problems with falling rolls.

'B' was very critical of politicians interfering continuously in education and perhaps still held the view of teachers as legitimated professionals (see Grace 1987). He was also very critical of the local CTC, one of the greatest recent threats to this school in his view:

I've never forgiven what happened in that situation where a school was closed to open that. Yet as a parent I cannot begrudge my neighbour sending their children to the CTC because it was exactly the same when I was a youngster. If you got a chance to pass the 11+ then you were virtually guaranteed a better education.

'B' saw appraisal as important for individual development. He compared it to mentoring. His whole idea of appraisal seemed to be classroom and practice based. He saw as important the choice of appraiser, sensitivity and confidentiality. He had appraised five members of staff in the last cycle:

I quite enjoyed it, it was terrible for them because initially it was just like having an inspector in the back of your classroom observing the lessons and so on. I did all that and I got feedback to them immediately to try to keep the concern down. To me it's been very beneficial. How you can rate what benefit it's been to them, it might be difficult.... they came in with great apprehension, this is just with me, and they went out much more relaxed and they said it wasn't such a bad thing after all.

People did worry about the use of data and 'B' said that you needed to work to maintain trust. He felt that if the approach was developmental then appraisal would be beneficial. He saw appraisal as similar to and linking in with department liaison which he also carried out. This appeared to be the process which the head called department review.

He noted that appraisal had been linked with getting rid of weak teachers. 'B' said that it should not be used for ammunition but to help people. He admitted that they were a bit behind with the cycle because of the recent school OFSTED inspection.

He also admitted that observation had gone by the board in some departments and perhaps they were being very informal but he did think that some were still doing it. He would like to keep appraisal and perhaps make it more open, though he did see a problem of peer appraisal being unable to fulfil a need for upward communications. Ultimately he

saw management structures as important and would not loosen these in favour of forms of peer appraisal as put forward in the literature.

'B' focused on classroom management. He thought appraisal was important and saw management as sympathetically helping people. This tallies with the standpoint of those who support line management appraisal (see Trethowan 1991, Jones 1993, Mathias and Jones 1993, Fidler 1995a). It should be noted that appraisal could also be another way of enforcing management and concomitant status differences. This was illustrated when he compared the appraisal observation to teacher training procedures and also to inspection. Here there are significant status and power differences between the observer and observed. Thus the language of contrived collegiality may have camouflaged the reinforcement of management 'power over' staff (Blase and Anderson 1995). Another interviewee found 'B's' observations as appraiser unfocused and his praise to be patronising. Thus appraisal in the way 'B' conducted it seemed to be re-emphasising the stability of the management structure.

'C' had been teaching for eighteen years, all of which had been at this school. He was happy here with no thought of movement. He had been promoted within the school and reached the post of assistant senior tutor, a pastoral position with responsibility for liaison with external agencies. He hoped to take a step up when the current senior tutor retired in the near future and eventually to become pastoral deputy at the school. 'C' said that it was as though he had worked in four schools because of all the changes the school had undergone, and, in particular, because of the distinctive styles of the four heads he had worked with. He felt that the school was now on the way up after the 'body blow' of the 1983 HMI report.

He had been asked to be on the working party by the head. 'C' and the head sorted out the paperwork for the appraisal system. The head previously reviewed middle managers and now did the appraisal at the same time to save duplication. He thought that the system they had was not stressful or time consuming and they had tried to keep the paper to a minimum. Staff had been asked to keep targets realistic, perhaps something they were already working towards. Some targets were ongoing and could be used for two cycles. He said that people were sticking to the process.

The advice from the working party may have encouraged the view amongst staff that appraisal should involve as little effort as possible. This is a form of accommodation (Bowe et al.1992) or subversion (Bottery 1996) of appraisal on a whole school basis. This may have been a way of putting staff minds at ease about the introduction of a controversial process. Once in place its operation could change later, a possibility with such innovations that has been suggested by Apple (1988).

'C' had appraised three staff in the first cycle. He was not sure if it had improved relationships as he already worked closely with them. He felt that appraisal was a



positive process and talking through issues raised was of use. He had benefited from his appraisal with the head and felt that individual improvements would eventually lead to whole school development. This hope has also been noted in other appraisal evaluations (Hopkins and West 1995, Kyriacou 1995,1996).

He realised that the second cycle was delayed because of OFSTED and was being rushed in order to be completed by the end of term. 'C' felt that appraisal would keep going because no one found it threatening and feedback to him suggested that people had thought it a beneficial use of time. He did admit that observation had been cut down in certain areas. When the appraisers had seen the people teach they were usually not doing formal observation unless asked:

For example (*the head*) appraises me and he observes my lesson, a lesson once a week. He won't actually come in and say I'm observing your lesson today but he goes on walkabouts and he'll spend five minutes in my class as he walks through the top floor and he'll do it at different times of the week so he'll see different classes. Now, in a year he'll see me teaching for a lot more than that hour.....they (*the appraisers*) say well look I'm not going to do a formal observation unless you want me to do something specific cos I've seen you teach, I've seen the way you talk to kids.

This certainly showed an adaptation of the process.

'C' mentioned the senior management review of subject areas when the head and deputies watched teaching and gathered information. He suggested that appraisal and review were linked. Middle managers did already set targets. If observation had taken place for other reasons, such as review, then it was not seen to be needed for appraisal. It appeared from what he was saying, that there was a blurring between department review, which was for whole departments, and appraisal which was for the individual. This may in future allow management greater control over the appraisal. The ability of the individual to decide the agenda of the performance appraisal may be lost in the department review. In Elliott's (1991) view this form of line management appraisal represents the growth in control of the management and the state.

'C' was supporting the management line. He seemed more concerned with the smooth running of the process than anything else. This perhaps reflected his hopes of promotion in the future and how the management of this innovation could benefit him.

'D' had been teaching for fifteen years. This was the third school at which he had taught and he had been here for ten years. He was appointed to be in charge of computer studies. The post was later expanded so that he became head of learning resources. This was subsequently felt to be too wide a brief. Thus reprographics and AVR were now the responsibility of a deputy. Though he was a bit disappointed at not being able to cover the whole area, the change had meant that 'D' now had time for a tutor group which he was

pleased about. 'D' could not see himself going further in his career, as advisory posts no longer existed and he felt that a deputy's job was too demanding. Though he found it frustrating at times, he was generally happy with his job.

He was both appraisee and appraiser. This fitted a line management route though he said that this did not have to be the case. He was aware of some peer appraisal by heads of department, though they had to give a reason as to why this was appropriate. As a head of department, 'D' had found appraisal useful. It had given him a clearer overview of how the appraisee operated. They had both been able to discuss the work and develop plans. The process had fitted the department and school development plan. He did say that they worked together closely on development of the library anyway. 'D' had felt that there may be a problem of maintaining the initial impetus of appraisal in future rounds, a concern also noted by Montgomery (1991) and Hattersley (1995):

I think it gave me a perspective as to how \*\*\*\*\* works ..... a better overview and it gave her the chance to actually in a structured way, feel that she was getting information across to me and also to other people.... So it was, it was really another avenue of, how she could see her job developing and the things that were actually giving her a chance to work and so on.

He had been appraised by a deputy head. The discussion was useful and he valued having someone look at his work, even if the deputy had not been particularly knowledgeable in his area. In the current round he would not be observed as the appraisal was focused on a management area. He did not see a need for observation if it was not relevant to the appraisal. This was especially the case when the appraiser may have seen the appraisee teach many times over the years.

'D' did feel that appraisal should fit the departmental review. He pointed out that this process varied depending upon the senior manager who was doing it. The head gave a detailed interview; one deputy tended to do a lot of departmental visiting with little feedback; the other deputy did very little for the whole process. He thought that such a process undervalued people if it was not done properly. Similarly, he felt that there should not be a need for a separate appraisal process but, if done, it should be carried out properly.

He was aware of political reasons for introducing appraisal but felt that they had avoided these by considering what they wanted the system to do for them. This was a view also reported by Wratten (1995):

Obviously the political background was there and so on, and I think that really in the school itself we have modified some of the overt and the hidden agendas behind it. I think we have actually taken it on with a view of what we want this particular system to do this for us.

'D' thought that appraisal was useful for valuing people, and for raising and discussing issues. In many ways 'D' took a similar line to 'C'. He saw appraisal as useful in his management role. It was another source of information. It enabled discussion to take place and thus acted as a motivator. The views of 'D' were very much in line with the benefits of appraisal reported by Hopkins and West (1995).

'E' took a very different view of appraisal. He had first started teaching in 1958, he left in 1976 and returned in 1980. He returned as English teacher and due to a turn of events found himself head of English. He had been at this school for fifteen years and had no career aspirations with seven years to go. He generally enjoyed the job and felt that there were still freedoms within the current changes. 'E' saw many of the things imposed in recent years as negative. He had been disappointed with both the GCSE changes and key stage two National Curriculum testing. Appraisal was also seen as another negative imposition.

'E' had appraised two members of staff. He did not believe it would change the relationships with people he had worked with for fifteen years. Wragg et al (1996) suggested that changing the practice of experienced teachers was a complex process:

How it was being implemented seemed quite foreign to the way we work in this school..... it's almost like checking up on people. Well, we don't go in for that at least not at a middle management level.

He was aware of the need to be sensitive to those appraised. The targets set had been almost completed anyway. The observation was only cursory and not formal at all:

We discussed it and I said I've seen you teach over the years there's no point me sitting at the back of the class, it's a waste of my time and it's a waste of yours so unless you want me to do that I won't.

Statements did take time and were carefully written to avoid problems. 'E' was mindful of how they could be used in the future. This revealed an underlying mistrust of the purposes of appraisal. He was not totally negative and had found some benefit from the process. There was the chance to discuss his work with his appraiser and he felt that the deputy had got to know him better:

I resented (*it*) to start with but the deputy head appraised me and I actually think that when we'd gone through the process he understood me a lot better and I understood him a lot better. We don't come across each other otherwise so I think that was quite useful.....The deputy head was doing much the same as I was

doing. He was going through it and trying to make the process useful.

This illustrates Deming's (1986) point that many managers make a difficult process as unthreatening as possible. However the appraisal did rankle with him. He believed that the human contact benefits could be realised in other ways and he would drop appraisal in favour of perhaps an annual review. This points up the need, identified by Scholtes (1995), to 'debundle' appraisal. 'E' was to appraise two members of staff this cycle but he had not done anything yet and would wait until 'pushed'. In Bottery's (1996) terms, his strategy was as far as possible to ignore the process.

'E' did not like the political implications at all when appraisal was first set up and felt it was linked to pay. However this had not happened. He suspected that it was now no more than an empty process which could actually cause discontent by raising peoples' hopes. He cited the example of one of his appraisees who wanted more English teaching and in fact had been given more humanities. He did question the whole purpose of the process, believing that the original control element in the introduction of appraisal had not been possible. Also from the teacher's point of view it was a waste of time and had no purpose. This illustrates the point made by Elliott (1993) that changes in management processes alone will not alter practice.

This next interview took place in the summer of 1996, one year after the others. It was a means of identifying any significant developments and as a check upon the validity of the earlier interviews. 'F' had taught for many years, having been appointed to the school as head of mathematics. He missed the sixth form teaching, which existed when he arrived and wished that there were more pupils of middle and high ability at the school. He was generally happy where he was but would move for sixth form teaching (if it did not disrupt his family). 'F' had appraised one member of staff. The other mathematics teachers all had other commitments and were appraised outside of the department. The focus of this appraisal had been subject-based but it had not fed into departmental planning particularly. They did tend to discuss things anyway and appraisal was merely a formalising of the process. He already went into lessons as part of departmental development and evaluation. This reflected the existence of monitoring as a function of management.

He had been appraised twice by the head. The head had observed him teaching as part of the departmental review. This may have allowed the individual to be confused with the department and thus led to a more general, unfocused observation. This may also have allowed the head greater control in the future over the focus of appraisal, a change recommended by the TTA and OFSTED (1996).

'F' felt that his appraisals had given him a chance to raise issues with the head, though after two cycles he felt that everything had been said. This sameness was a fear noted by Hattersley (1995). He would be appraised by a deputy next time but expected this to be a routine exercise as the deputy knew little of the mathematics department.

'F' saw appraisal as a low key formality to be completed. He had not yet carried out the review of his appraisee's second cycle and was being pushed to do it in the last week of term. It was, in this particular instance, more of a personal review and had not particularly benefited the department. This was one of the faults of appraisal in its current form mentioned by the TTA and OFSTED (1996).

This next interview also took place in the summer of 1996. 'G' saw appraisal like 'E' and 'F' as being of little use in her work. She had been teaching for eighteen years, all of which had been at this school. She was now head of humanities. 'G' was, at this time, on a second maternity leave and would return after the summer because she needed the money. Ideally, she would rather return without responsibility and teach for just a few days per week. As the department had shrunk over the years, 'G' felt the pressure of greater workload. This was illustrative perhaps of the intensification of her work as a result of increasing national and legal requirements whilst at the same time the school had contracted (see Apple 1988, Hargreaves 1994, Gewirtz 1996). Staffing was now beginning to increase and she hoped that the situation might become easier in the future.

She had not appraised anyone as the members of the department had other areas of responsibility. 'G' had been appraised by a deputy though she felt that she was a better teacher than him. There had been no focus for the observation only general remarks. 'G' found the praise of the interviewer condescending. Targets set were what she had been going to do anyway. Her feelings towards how the appraisal was conducted reflect many of the criticisms made by Hopkins and West (1995), Barber et al. (1995), Wragg et al. (1996) and the TTA and OFSTED (1996) in terms of lack of purpose. In her opinion the process had been a waste of time. After reflection 'G' said that it had only seemed to illustrate the appraiser's ability to appraise her because of his position. Thus appraisal was shown to involve power within the organisation as suggested by Bush (1995).

'H' had been teaching for seventeen years. This was her second school and she had been here for fifteen years. She was a home economics teacher and had been given a scale two responsibility post and then made head of home economics. The department meanwhile had shrunk and she was currently the only full-time member of staff. She became a head of year on a B allowance, though she did still have to run the home economics. This is further illustration of an intensification of the work process, in being expected to do more as the school shrank due to external pressures.

She said that she could not see herself gaining further promotion and was generally happy with her position. 'H' did find the job demanding in terms of energy and wondered sometimes if 'she has still got it'.

'H' had not considered the wider political issues surrounding appraisal. She had found it useful in that it made one focus on several things with another person, such as talking about the job or watching the teaching. For her it was quite an informal process. The targets were there anyway but she felt that it helped to talk about them. 'H' was slightly concerned about what happened to the written information gathered during appraisal though she assumed that it could be used by the senior management team (SMT) in the departmental liaisons:

I'm concerned sometimes as to what then happens with the bits of paper when you've filled it in. When it goes on, I mean obviously it goes within a file to SMT or whatever. I suppose it gives SMT an opportunity when you're having departmental liaisons or whatever, for you to talk about.

This again reveals mistrust of the ultimate purpose of the process and also the separateness and supervisory function of the SMT (see Grace 1995).

In the second round she was appraising another head of department who was a member of her tutor team. This was in effect peer appraisal, though there was a pastoral line. The whole process was very informal with no observation, no initial meeting and the appraisal interview was a quick chat. 'H' had not been appraised for a second time yet and this was likely to be just as informal. Appraisal seemed to have become in these instances little more than a personal review of the year. This shows how appraisal had been changed and accommodated (Bowe et al. 1992) into teachers' working lives. 'H' said that the school was small enough for everyone to know what was going on within it thereby questioning the need for a formal appraisal process.

This next interview also took place in the summer of 1996. 'J' had been teaching at the school for sixteen years after returning to England after several years in Canada. She was on a B allowance for being second in the maths department, second in a year team and helping with the exam entries. She had no career aspirations and was generally satisfied with her position.

From the subsequent september 'J' would be promoted to head of year. She had been asked to apply for the post. 'J' was happy to have been asked but had not expected it. It did mean that at least in the short term she would have to continue with her other responsibilities though she would be given half a scale point as an incentive. This was being given to all heads of year as an interim increase until the head could raise it a full point. This once again demonstrates the problems of intensification and workload in a small

school. As the school roll increased there was a feeling expressed by 'J' that there would be an improved staffing base, a process that would begin with the appointment of an extra teacher in the following September.

She noted how the school had changed over the years with the worries of redundancy and closure having receded. The school was now growing and the atmosphere was much better.

'J' was very unclear about the appraisal process and admitted that this reflected its low priority for her. She had been appraised by her head of department who she worked closely with. She said that they did discuss things and she also informally reviewed her work. They visited each other's classes often and the head of department carried out lesson observations as part of his departmental monitoring anyway. She would have happily seen appraisal fade away as it did not appear to benefit her in any way.

'J' was not worried by the process and felt that it had merely formalised what they did anyway. Perhaps the formality of recording put people on the spot and made them more wary. She could see how it would worry some teachers and had heard this to be the case in other schools. This echoes the lack of trust in appraisal as found in other interviews. 'J' felt that the open-plan nature of the school had made staff feel less threatened and isolated. She also thought that the head was trusted and that a change of head could make the process threatening. This illustrates the power of headteachers (see Hoyle 1986, Bush 1995 and Grace 1995). 'J' did say that this was a small close staff and that they could resist any threatening system. This shows an awareness of teacher strategies in a micropolitical context (see Lawn 1988, Blase 1991, Ganderton 1991).

'K' was in a similar position to 'J' in that he was second in a large department. However, he did not appear to feel as valued in this position as 'J' was. 'K' had been teaching for seventeen years. He had moved to this school eleven years previously from a rural comprehensive going from a scale one to a two. However this scale was lost with the development of the main professional grade and the contraction of the school.

As the department contracted there had been great pressures in the teaching of science. In his words the school had 'hit the decks' several times since he arrived but now it was rising and the department growing. He was looking for head of department posts but they were few and far between. He enjoyed working as part of a team but thought that he was not used effectively as second in the department. 'K' would have liked to see this role develop but felt constrained by his head of department. In his view the top and middle management had stayed at the school and this had caused problems of promotion for those in the middle:

This school is traditionally a large school with an awful lot of points at the top and so they've stayed on and people like me have suffered at the bottom.

'K' was not frightened of change and thought that it was for the benefit of all. He trusted the senior management though he suspected that some of the middle management would feel uneasy with appraisal, a reference to the fact that they would be appraised by senior management. He had been appraised both times by his head of department and was currently awaiting the interview on his second cycle. He felt that it had been useful in that it allowed the airing of views and had forced the head of department to consider his role as second in the department. This was what 'K' had wanted the first appraisal to focus on. He wished to use and improve his management skills. The role had not really developed and he asked for it to be considered for a second time. 'K' suspected that the head of department was trying to deflect the issue:

I've chosen or was pretty much forced to choose this person to appraise me the first time round because it was said that it had to be in line management if at all possible. I chose not to change it the second time round in order to make a point cos I knew I'd grown in confidence with appraisal.

'K' had nominated to have data collected from the head for his appraisal this time. He was using appraisal deliberately to force an issue. 'K' thought that appraisal could be useful as it encouraged discussion. However he saw a danger in that if a manager learned your personal feelings through appraisal they could use this in future relations with you. This mistrust could cause people to close up during the appraisal process:

I think a lot has got to do with the appraiser as well as the appraisee and I think it depends on the confidence each has in what's going on and also in each other.

Thus 'K' was aware of how managers could use information about you. He was also aware of the limitations of the appraisal process. However he was able to use it deliberately to try to pin his appraiser down on an issue that he wanted him to consider. This illustrates how such processes can be used by participants in different ways as part of the strategies at their disposal. This highlights a point of Bosetti and O'Reilly (1996) that fragmentation of policy allowed teachers to appropriate procedures for different purposes than those originally intended. In this case the accountability and checking had almost been turned on its head. This is perhaps a function of micropolitical life within the complex organisation of a school (Hoyle 1986, Ball 1987, Blase 1991, Blase and Anderson 1995).

'L' had been teaching for ten years and had spent the last nine at this school. He was a design and technology teacher. He enjoyed work but when asked if he wanted promotion he replied:



In this climate, the way teachers are being treated, no I don't. We were working it out - the only difference in real terms between (*head of department*) and me is that (*head of department*) runs around in a new car, and I don't..... I have very few - almost no doubts - that I could cope with it, there's this "Is it worth it" the pressures involved - do I want to cope with them?

As he said about his family life:

At the moment I've got two kids and I rationalise my time with them - the job's important, but the kids are only going to be kids for the next five or six years.

He had many outside interests which he felt kept him fresh and ultimately made him a better teacher. Thus work was not the only focus of 'L's life. 'L' was very sceptical of appraisal and saw it as a control mechanism and a way for "the management getting us to do more in our job for the same amount of money." He also saw appraisal as "the government's way of controlling you". This echoes Elliott's (1991) view that appraisal demonstrates the development of managerialism. 'L' felt that people can be intimidated by a system that forces them to set targets. They may be held against you and be used to signify a failing teacher. This view expresses the 'driving by fear' style of management outlined by Deming (1986) and Scholtes (1995). 'L' saw the appraisal process as a negotiating game, something which Goffman (1972) would say was part of all social interaction:

You know how easy it is to manipulate, you get anybody who's worth his salt as a manager and they can manipulate. 'You've got to have something down - how about this' ..... I realise it is a stick to get me to do more and various things. I'm also able to analyse it and play the game a little bit .....but I can imagine other people who are perhaps good at their job, but not that good at playing the game.

He had been appraised twice and got on well with his appraiser. They discussed things and worked closely together but in the interview his appraiser was different. It became a game of do not give anything away, do not upset anyone. The observation was not done for either appraisal. 'L' said they worked so closely together that it was not needed. This again is a manifestation of accommodation (Bowe et al. 1992) of the process. They did spend a long time discussing the targets and also looked at the targets from the last round. 'L', like others, was careful about what was written down as part of appraisal. This reveals suspicions behind the motives for its introduction (see Bell 1988, Goddard and Emerson 1992, Holmes 1993). His head of department was friendly but in this role did become a line

manager. 'L' did not feel that he had benefited from appraisal and would have aimed for the targets anyway.

He did see issues surrounding appraisal. For instance, he pointed out that the process was very informal at that moment but this was not to say it would remain so (Apple 1986). Simply doing the process had put people under stress, which again created a feeling of manipulation.

'L' thought that the professional development aspect of appraisal was basically a paper exercise and that people saw through it. Its main purpose was to delegate, to get people to do things, a manipulative tool. He suggested that using legislation to force teachers to do something which was supposed to be positive must arouse suspicions as to the government's motives. This is an opposing view to that of Jones (1993) who saw the law as a way of making appraisal the *entitlement* of every teacher:

you come to no other conclusion that the government are trying to slide something in in the guise of being positive, constructive, but are going to beat you with it.

'L' saw who managed the system as being the significant issue. The effect of appraisal:

still depends on who you're dealing with, who's managing it, the way they want to manage it. So it's more down to those factors.

'L' could see the SMT putting pressure on heads of departments to carry out appraisal the way they wanted. 'L' agreed that 'they', meaning the management/government, could get you in many ways. He saw appraisal as part of the formalised system of control.

'L' worked closely with his head of department. He saw appraisal as a manipulative control exercise and could even see this in his own colleague. He was aware of how development and targets may be used in different ways and was wary about the whole exercise especially when things were written down. He was also aware of the games-playing nature of the process and how power played a significant part (Clandinin and Connelly 1996). He had suspicions of how management may start to use it, subtly at first, for their own ends. His whole account is, like several others, cognisant of the political nature of life in schools.

'M' was, at the time of the interviews, the newest member of staff. He had been teaching for three years in total and two of these had been at this school. He had no long term career plans, except perhaps to become head of chemistry in the medium term. He wanted to stay in this locality which he realised did restrict his promotion opportunities. Previously he had worked in industry before deciding to become a teacher.

Teaching had lived up to his expectations though the workload was much greater than he had expected. 'M' had been on one year contracts up to this year and so this was the

first time he had been appraised as a teacher. He had had no appraisal training but had 'been through it' in industry and found it a similar system. This indicates how management of schools may be replicating that of industry. This may suggest the usefulness of appraisal (see Mortimore and Mortimore 1991, Fidler 1995a), or how it could be seen as a management threat to the position of teachers (Ball 1991, Ozga 1995b, Bottery 1996, Gewirtz 1996).

He had been observed during three or four lessons. Feedback was quick and he described the process as acceptable. He had not set the focus. The appraiser 'knew what to look for':

Yes, I think my appraiser knew what he was looking for, he was experienced with teachers so he should know.

These comments illustrate how appraisal can reinforce the 'power over' (Blase and Anderson 1995) the appraisee by the head of department. 'M' had set the targets which were realistic and achievable:

The process is okay, not time consuming and as I'd already been through it in industry, I wasn't really worried as are some members of staff. In terms of the outcomes, the list of things you need to improve - you already know most of those anyway and so does your Head of Department. I tend to think that a lot of this is just a paper exercise. You can come up with lots of areas you need to improve and say okay perhaps we need time out to watch other lessons, to watch other teachers practising skills at other schools but there's just not the money there to back it up.... There are some benefits in that you clarify some things and you can think a bit more carefully and talk about these things which is vital. The interview is useful.

He saw the possible benefits but did not believe that the resources were available to back up any suggestions. This was also found to be a significant *reason for negative views of* appraisal by Embery and Jones (1995). In line with the findings of Nixon (1995), 'M' had thought that the opportunity to talk was useful but did not expect his needs to be met by appraisal. He admitted to spending very little time thinking about and doing the process. It had been very rushed, something else he had to complete. 'M' did doubt if anyone was going to look at the targets and check:

Well, do I have to achieve them just because they're written down, who is going to look, is anybody going to be concerned whether I reach these targets or not at the end of the year?

Perhaps considering how the observations had been conducted and 'M's' acceptance of what was said to him, his head of department was able to use the process to keep a new member of his department in line and checked up on. This evidences the development of a separate

position of middle management (Grace 1995). The process was something which the appraisee had to complete, similar to Nixon's (1995) findings, something which was 'done to him'

### School Three.

Every member of staff at this school should have been completing the first half of the second appraisal cycle at the time of the interviews for this study, June 1995. Of those interviewed only three had actually fully completed a first appraisal cycle and one of these was the deputy responsible for its implementation in the school. Three had started but not completed the cycle and were, to some extent, confused as to actually where they were in the process. Five had not been appraised at all. Apart from the deputy only one of those interviewed had appraised another member of staff.

Those staff who had been appraised are considered first (leaving the deputy until the very end of this school's analysis). They had both been at the school for approximately ten years. 'A' had qualified with a PGCE as a mature student when her children had become older. Her entire teaching career had been spent at this school. She was head of art and would also be in charge of religious education (RE) from the following September. This additional responsibility, with no extra allowance, was due to staff contraction and represents an intensification of the work process as a result of financial constraints (see Apple 1998, Hargreaves 1994, Gewirtz 1996). 'A' said that she was satisfied with her position and had gone as far as she expected to, pointing out that at her age people were generally looking for early retirement.

She had been appraised by her head of faculty and was now ready to start the next cycle. 'A' saw the appraisal as developmental and felt that it had benefited her and the school generally. She accepted that others may not have felt so comfortable with it and realised some of their fears:

I mean when I joined the profession they weren't laying people off like they are now!! .... Ten years ago it was a very different profession.

This reveals an awareness of the change in the management of teachers (see Ball 1991, 1994, Ozga 1995b). Whilst being suspicious of the political motives behind its introduction, she trusted those in the school who had implemented appraisal:

I can see that it could be manipulated, I'm not saying in this school that it would be at all. I think that the senior staff were very sensitive about that but I did suspect some of the government motives behind these sort of initiatives.

'A' reported the misgivings noted in early discussions of appraisal which also surfaced in other evaluations of the introduction of teacher appraisal (Williams and Mullen 1990, Holmes 1993, Wratten 1995). These uncertainties perhaps resulted from an appraisal

system claiming to be for the professional development of teachers yet at the same time being associated with increased accountability.

'B' had a total of twenty-two years teaching experience. He enjoyed teaching but felt that it used to be more enjoyable. 'B' was very conscious of political interference:

Well I do, I enjoy teaching. But you see, my first ten years I really enjoyed teaching.....it was imaginative. The imagination has gone out of education and I'm sure that the government have to take a very large blame for that. There are so many extra things that you have to do, I mean like our OFSTED inspection. I mean, our school totally ground to a halt because everybody was told that they had to do this and they had to do this and this has to be got ready and of course people hadn't done it, which is another interesting issue....

..... Thats why I had such a hassle with that production I was doing that year. Nobody wanted to do anything because they all had to get ready for OFSTED.

The pressure of OFSTED has already been acknowledged as a feature of implementation at School One and School Two as well as by Barber et al. (1995) and Wragg et al. (1996). 'B' suffered a mild stroke the day after the production had finished. Consequently he was on sick leave during the OFSTED inspection.

He had been on a scale B allowance for nine years and felt frustrated at not being given *more responsibility*. He particularly referred to the creative arts post which he regarded as his idea and which had twice been given to others when he felt that he was the better person for the job. 'B' pointed out that the person who last got this job played the organ in the same church as the head belonged to. He thought that the school was poorly run and was disenchanted with the senior management. This may have indicated the type of 'us and them' attitude noted by Ball (1991) where teachers became treated like ordinary workers.

He did say he would like to leave the school. He would take early retirement if given the chance (he was only forty-five) as too many things annoyed him about the way things were run. He was also aware of the top heavy nature of the staffing structure:

You become cynical and in the end you think well if that's the way you're going to play it then you can forget me 'cos I ain't going to put any extra in.

He had appraised another member of staff, who had specifically asked for 'B' as he was not a member of the senior management. They were not planning to conduct the review as the appraisee would retire at Christmas. 'B' said that this was basically a 'put up job' where the appraisee had said exactly what he wanted putting in the statement. It stated that the appraisee could not cope with the wide range of ability and needed classroom

support. The appraisee was trying to force management to address an expensive issue or to admit that appraisal was a waste of time. As 'B' put it:

He knew, I mean we both knew it was just a bloody game.... He actually wrote the statement.

These actions demonstrate powerfully how teachers are able to actively respond and resist policy pressures placed upon them (see Salaman 1986, Ozga and Lawn 1988). In the terms of Bowe et al. (1992) these actions showed 'subterfuge'. For Bottery (1996) it was the response of 'subversion'.

'B' thought that both the appraisal system and OFSTED were brought in as a political exercise to appear to the public to be pressurising teachers. His appraisal was done as quickly as possible 'to get it out of the way' as he thought others were. This may again be seen as a response to attempts to increase supervision of the work of teachers (see Ball 1987). He compared it to ROAs which no one referred to and were a chore to complete. It is perhaps worth noting that his appraisal was done by his head of faculty, who 'B' believed was promoted over him.

Both of these teachers so far interviewed had the same appraiser. Differences in views were apparent. Attitudes towards the appraiser, school management, the previous head, differed as did the sense of frustration with their position. However they both referred to the nature of teaching as an occupation and how this had changed. There were concerns about the decreasing numbers and the age of staff, retirement and, certainly in the second interview, health and stress of work. These personal factors influenced how they saw the externally imposed process of appraisal and how they reacted towards it.

Three of the interviewees had started the appraisal process but not completed it. They had all been teachers at the school for many years and their views towards teaching and the school reflected their different experiences.

'C' had been teaching for twenty-six years, having spent the last twenty two at this school. She had been head of Technology for three years after being in charge of home economics. She admitted that she would be here until she retired. Though 'C' had always enjoyed teaching she found her job as department head difficult. The subjects and their content had changed greatly and had been affected by government interference. 'C' saw pulling traditionally separate subject areas together as a problem. The department had shrunk from eleven to three over the last ten years with reduced levels of capitation. 'C' hated what had happened to the subjects and the in-fighting involved. This again indicates intensification of the work process due to national changes in policy and market pressures on a shrinking school.

She had only recently been appraised (or been through part of the process). 'C' claimed to know little of what was involved, was openly dismissive of the need for such a process and had found it somewhat insulting. 'C' did not do the self appraisal and had given no consideration to the initial meeting. She had had one observation, nothing else and was hostile to the appraisal cycle considering it a waste of time:

Perhaps if I was younger appraisal might be an important thing, cos it would then highlight what I wanted people to see about what I was doing, and it might highlight where I needed say INSET, or other courses to improve what I was doing. But I think now, in the back of my mind I'm saying what more is there that I can do, how many more courses does one need to go on? If you haven't been recognised for doing what you're doing now, then it really is a bit late, and I'm of the opinion that if people aren't happy with what I'm doing now then they should be telling me 'we are not happy with your work please go away.' I really can't be doing with someone who is coming in almost to look at something which is non essential, when I feel there is so much more in the school or so much more useful things they could be doing with their time than sitting either watching or talking to me about what I see myself doing in the next two years.

'C' regarded appraisal as a way of management not doing their job properly. As head of department she was in and out of lessons, talked to members of her department and felt that she should know what was going on. She saw appraisal as a way of hiding problems and avoiding management decisions.

As far as 'C' was concerned all the issues appraisal was supposed to address could be done without the formal system and appraisal may actually create a barrier. She said that she wanted a working relationship, not a monitoring relationship. 'C' would prefer to build personal relationships rather than use appraisal. A good manager she suggested, should not need an appraisal system. These views very much mirror those expressed by Deming (1986) and Scholtes (1995):

That surely is the limits of a good manager, that your workforce can actually come and talk to you with suggestions and problems. I would prefer a trusting relationship rather than somebody feeling that I'm big brother watching them.

Thus appraisal was seen by 'C' as a means of increasing internalised surveillance (Reay 1996). She was to appraise a member of staff, had not done so and would not until pushed. She "knew" that he felt the same as her. There was here a strategy of defiance (Bottery 1996) and resistance (Lawn 1988, Bowe et al. 1992). She did not feel that appraisal had benefited the school. The management may have seen it as greater control but she did not think that this had worked.



'C' was annoyed with and antagonistic towards the SMT. She did not like the formality of the appraisal system and saw it in terms of monitoring staff. She preferred to work informally and do things as they were needed. Technology had been criticised in the OFSTED (1994) report and this may indicate why 'C' felt resentful towards authority and let down, or threatened by senior management. There was a feeling of separation and antagonism between different levels of management rather than of being led by fellow professionals.

'D' had been teaching for nineteen years all of which had been spent at this school. He had been head of P.E. and moved across to head of year. He saw stability as important in a school. He would move for promotion, to deputy for instance, but it would have to be local due to family commitments. He had been on a number of head's courses and had completed several years of a degree course but admitted to not liking the social etiquette associated with securing promotion. He still enjoyed the job though he thought that it had got harder. 'D' believed in the important nature of the job and felt that some of the entrants into teaching in recent years lacked this commitment.

The school was being restructured due to contraction and the head of year posts were going to be replaced by just head of upper and head of lower school. The remaining heads of year were to become assistant heads with other responsibilities added to their jobs. Thus from any structural changes *some would benefit and others might feel that they are the losers* (see Ball 1987 and Hargreaves 1994). 'D' would be one of the assistants as there were already two heads of year on higher salaries. He respected one of these but thought that he could do a better job than the other and that it was just circumstances that led to her having this higher salary:

Its an awkward time for me at the moment..... its what I will make of what's given me that will dictate how I go. I mean I've enough personal motivation to want to say I want to make that work.. and work well. But then I also don't want to feel, that I'm dominating what is seen to be my boss, if you see what I mean. So its an awkward, it's an awkward one.

Thus in a way he has been demoted through no fault of his own. He felt cheated out of his position by someone whom he perceived to be less effective than himself. He planned to apply for promotion within the school if the chance arose and thought that he would stand a good chance (it should be realised that the current post holders started at the school at the same time period as himself and were unlikely to move):

If one of those (*heads of upper or lower school*) left, I'd go for it, if we'd all been on the same salary at the start I would have thrown my hat in the ring and said look, lets go for it.

Regarding his appraisal, he did have an initial meeting, a lesson observation and a debrief for this about eighteen months previously. His appraiser took over the running of the school when the head became ill, so they did not have time to complete the rest. This represented the slippage identified by Barber et al. (1995) due to illness of a member of senior management. 'D' enjoyed the process in terms of feedback, though he felt that his relationship with the appraiser had always been close.

'D' did feel that appraisal was rather soft to be of any use and pointed to a need to reward and praise teachers but also to address issues and improve standards. In this respect he agreed with the findings of the TTA and OFSTED (1996). He noted that OFSTED inspections could do this but he was also sceptical of the bland nature of the reports, in that they still tempered their findings. He did suggest that people wanted to impress and be put on their mettle, also that there may be certain standard things to look at for all teachers:

I think appraisal's a good thing. and I think the way its done is done badly, cos its not used right. I think if we appraise, by the word of appraisal I think we are mollycoddling people in the teaching professions, we have for years.

'D' said that praise was important but that appraisal should also be about *improvement*. If important issues were identified, then help should be given and efforts made to progress. He suggested that if people did not improve then action should be taken. However, the appraisal system did not do this and 'D' therefore saw it as ineffective. This concern was also voiced by Shephard (Rafferty1996) and Woodhead (Carvel 1996).

'E' had taught at the school for seventeen years. She started part-time when her children were small and later took on full-time work. She had previously been a social worker, then trained as a teacher and taught for two years before starting her family. She realised the good and bad sides of being at the school a long time:

You've taught their brothers and sisters, and mothers even sometimes..... but, professionally, I don't know whether it's always such a good idea. because when I was first teaching, I mean, you never stayed in a place for more than two years, you hopped along from one place to another.

'E' was head of history and felt comfortable at the school but unlikely to move as she was now rather expensive. She made reference to the closure threat, the illness of the head and also to the staffing structure which was top heavy with a staff unlikely to move. 'E' felt that this should have been planned for and had led to certain inequities within the school. Some like herself had heavy teaching loads whilst others had small groups, such as learning support.

On her appraisal cycle, 'E' had been observed and received feedback on this. However she did not do a self appraisal, had not had an appraisal interview and no targets had been set. She was not aware that this should have been done even though the observation had been completed months earlier. Her appraisal was conducted by the deputy head and she had quite enjoyed the contact and chat. She saw appraisal as a legitimate way for management to know what was going on as teachers tended to work alone. This echoes the sentiments of Better Schools (DES 1985) and other management theorists (Fidler and Cooper 1992, Fidler 1995a).

She was very aware of the wider political context of educational change and felt that if things did not work effectively they were likely to be either dropped or changed. The developments regarding the national curriculum provided a good example. Looking at appraisal in particular she said:

I don't think they'll scrap it completely, and I think it's inevitable. We are more accountable now than we ever used to be as teachers. I've noticed it gradually coming on over the years.

'E' felt that rather than being dropped it was more likely that appraisal would be made tighter and used for monitoring. It had been tentatively introduced ostensibly for professional development, what she called "a sugar coated pill". It may be supposedly for the benefit of teachers but she thought that appraisal was primarily a management tool. These opinions give further substance to the view that there is increasing control of the work of teachers and a change in the nature of management over them (Ball 1994, Ozga 1995b, Bottery 1996, Gewirtz 1996).

'E' saw that in future appraisal may be modified and tightened. Appraisal documents may eventually be used in inspections to show inspectors the strengths and weaknesses of the staff. This has also been hinted at by Woodhead (Carvel 1996). She did note that one form of action teachers could take is to just not do something, in other words a form of passive resistance (see Lawn 1988, Bowe et al. 1992 and Bottery 1996).

Thus the three teachers who had been through part of the appraisal process had certain things in common. They were all experienced members of staff and had been at the school some time. They had each been appraised by a deputy head. The process had not been completed by the appraiser in each case. 'C' felt the external pressures of national curriculum in her work; she saw pressure also from the shrinking of the school. She felt that management at the school was poor and appraisal was an attempt to get at the staff. She regarded it as a process of checking up and preferred a personal approach, which she saw as more in line with professionalism, to tackle issues. Her defensiveness and her resentment of management could perhaps have been a response to the criticism of her subject area in the school by OFSTED (1994).

'D' was also affected by the shrinking of the school. He felt that circumstances had resulted in someone he had little respect for being given preference over him in promotion. He had little use for appraisal in its present form and would like to see more rigorous checks on teaching in place. These would serve to highlight issues of teaching quality and help to strengthen his case. These two opinions perhaps reflected the different circumstances in which these teachers found themselves in the same school.

'E', in considering the shrinking of the school and the failure of the previous head to prepare for this, was aware of the effect on her teaching load. She noted how the nature of teaching had changed and the increasing external control over teachers. She did feel that this monitoring was likely to be tightened now that appraisal had been introduced but also noted the opportunities for resistance by teachers to things they did not agree with.

There were, amongst the interviewees, five who had not been appraised at all. 'F' had been teaching for twenty-four years. This was his third post and he had been at this school for twenty-one years. He was head of geography. He had previously applied for promotion but over the years had got what he termed 'locked in the system'. He was currently top of a B scale and felt expensive. As 'F' said of the staff here, "a lot of us seem to have sort of grown old together!" He enjoyed teaching but disliked much that went with it:

I don't feel there's a great deal of job satisfaction in it now-a-days.  
.... the job is difficult. If you could come in and teach, and prepare  
and mark or whatever, well then it would be fine but we are having  
to sort out the social problems of the area on occasions, rather than  
just teaching..... then you get all this national curriculum  
administration and things like that, so you're sort of piling an  
awful lot in the boat and it's sinking a bit really.

The geography department had been criticised in the OFSTED (1994) inspection and 'F' mentioned that he had been off with depression for seven weeks shortly afterwards. He had not been appraised and thought that his illness may have been one reason why he had not been pressured into doing it.

He did question what the point of appraisal was if people had been doing a good job. 'F' said that others "knew" how well you were doing and heads and deputies did check around the school:

I see very little value in it. If you're working in a school, people  
generally know whether you are managing, doing well, or whether  
you're struggling.

He suspected that everyone knew what they did well and what their weaknesses were. 'F' pointed out that the informal process of discussion was fruitful but that the formal

appraisal process made people wary and concerned with things such as the particular wording of the appraisal statement. Once again a mistrust of the stated purposes of appraisal can be noted (see Bell 1988, Goddard and Emerson 1992, Holmes 1993). He said that people were not going to put their weaknesses down or make valid criticisms of themselves if it was being recorded. The end result was therefore likely to be platitudes. He compared it with not telling the whole truth to parents about their children so as not to hurt them. People will just go through the process:

As far as I was concerned, and other people were concerned, we'd do just the thing that we'd got to do..... I've heard people talking about appraisal say, well I'm appraising you, right, what do you want me to put down? and they'll write the appraisal thing before they've even watched them!

Thus he could see examples of teachers using strategies of ignoring, subversion and subterfuge. They could all be regarded as forms of resistance to something that may be felt a waste of time, or worse, by those involved.

Underlying 'F's' views and concerns was a belief that appraisal was a form of check on how people were teaching. He saw it as a form of 'control over' (Blase and Anderson 1995) teachers rather than a means of professional development. He said that the process was a show of public accountability and therefore everyone tacitly went along with it.

In terms of this school, 'F' saw so many important issues that appraisal was low on any list of priorities:

At this place we've been 'ofsteded', we've had a headmaster who disappeared really! .... so we've had a new headmaster. And so, over the last two years there have been so many things that have happened which are way up here priorities, and appraisal is sort of somewhere down at the bottom and is of no significance, I mean of no significance to the whole school. It's not going to suddenly improve what we are doing in the school itself. So, its something that alright, you're supposed to do it, but it's not important.

'G' had been teaching for seventeen years, all of which had been at this school. She had been head of girls P.E. for four years. 'G' was happy at the school and enjoyed her job more now than when she started. She still had ambitions to advance in her career, perhaps more into pastoral care. As head of girls P.E. 'G' had felt the added time pressures as the number of teachers was reduced and there were fewer staff to run the same number of things.

She should have been appraised eighteen months previously and did have a chat with her appraiser but they never went any further. 'G' worked closely with her appraiser and as a department they set targets and openly discussed their work. She felt that they did the appraisal process unofficially as part of their professional practice and did not see

the need to do it formally. This reflected a collaborative culture (Hargreaves 1994) within the department based on an image of the extended professional (Hoyle 1980).

She mentioned the experiences of her husband who was appraised as part of his job in industry:

He's appraised three times a year, he has no choice. And if he's not reaching certain targets they want to know why and things. So in that respect it's good, because it gets to find out more about you..... he said 'well, you have it in business, any job you have in industry you've got no choice. And if you're not doing what you are supposed to be doing, then they want to know why, because that's our job on the line basically'.

'G' saw appraisal as a form of monitoring which was not really needed. She felt that the head could check without appraisal and should know how people were working. This echoes Deming's (1986) view of there being no need for formal systems of appraisal. 'G' said that people only did it because they were told to and to get it out of the way. They could quite easily rig the whole thing. She said that it was not working as a check as staff were just not doing it. This again illustrates how staff were able to react to imposed processes. She thought that appraisal would be dropped in the future. 'G' did see a potential danger in how the information gathered from appraisal could be used. The threat of redundancies made people careful about what was written. This reveals mistrust over the process of appraisal and is similar to the views of many teachers when it was first introduced:

It makes you think well, have I got something to hide, you know, you could be thinking, well, I don't really want to say that, although that's what I feel..... I'm going to write this instead, because .....you want to cover your own back!

Inspection certainly affected how people operated and 'G' saw this as a greater threat than appraisal. The pressure of OFSTED was also noted by Wratten (1995). 'G' saw herself developing professionally but not with the help of the formal appraisal system which she regarded as a check on teachers.

'H' had been at this school for eight years in a career of fifteen, having started teaching at the age of thirty. He was an English teacher with a special interest in media studies, which the previous head had been interested in promoting in the curriculum. In the last term he had been served with a redundancy notice to take effect from the following Christmas. His head of department was on long term sick leave and was not expected to return. The school's new head had assured 'H' that this would enable the redundancy notice to be cancelled. 'H' could not take that chance and had secured a post in English at

another school, though it was only a one year contract. Accepting this fixed term contract perhaps reflected 'H's' disillusionment. In talking of the redundancy notice he said:

I know it's standard wording but it says that you are, 'surplus to requirements,' of which you can only think, well who's requirements am I surplus to? Certainly not the kids that I teach or my tutor group or whatever. A job cropped up ... so I applied for it. I wouldn't have done, had I not been facing potential redundancy. So it's a sideways move.

The experiences of 'H' are perhaps evidence of how teachers are now treated as ordinary employees rather than as salaried professionals (Ball 1991). 'H' said that he was not a careerist; he had outside interests but did enjoy the job. The redundancy had affected his teaching and made him more detached and cynical. He had reflected on life in the school and these thoughts illustrated the micropolitical nature of the organisation:

It makes you realise, more importantly, the limitations of the people managing the place that you are at because the outside forces are too big, too set, too systematic. You know the, the rules are stacked against individual schools too much. You get into thinking about career in the way that I've never bothered about before. You know, it's a job and you start thinking, as we all know, there are people who manage to spot areas, get their foot in the door one way or another, and protect themselves. And then you think to yourself, well perhaps you should have been doing a bit more of that and a bit less of worrying about the kids I was teaching, .. and, all these things .... you know, whether you ultimately believe that or not, that's what you still think.

This was a consideration of the importance of the macro forces alongside the internal school politics (Ball 1987, Blase 1991).

He had not been appraised due to the illness of his head of department and the other pressures which the school had been under. This view was expressed by many other staff who had likewise not been appraised at the school and was also echoed by the findings of Barber et al. (1995) and OFSTED (1996):

The head of department had been in the job about a year, before he went off ill. In that year of course we had the OFSTED inspection, which took up a lot of time, preparation for it, feedback and everything after that. ....and then there's the term afterwards where you start setting up your action committees and start putting it into practice..... and then I mean *the previous heads* illness. \*\*\*\* as acting head, then \*\*\*\* taking over as head. There was a lot of looking at situations and, setting up new initiatives, altering the way things are done. In the mean time you get on teaching your classes.

'H' felt that the process of appraisal itself was a good thing and that many teachers did it all the time. This was an image of teaching as a professional activity as discussed in the literature. Making it formal he saw as a different matter. This was part of checking what people did and also an attempt to create more standardised teaching. He made the analogy with English and the National Curriculum where assessment and grading of pupils was now paramount and drove the teaching of the subject. The product was being considered rather than the process. This view was in line with those who criticised line management appraisal in favour of a practitioner researcher or peer approach. There is also an understanding of the ideology which has underpinned much of the school effectiveness movement (see Elliott 1996).

'H' pointed to many procedures which involved evaluation of what they did. The department constantly reviewed things together. The process was open but not recorded. He saw this as important but that making it formal was a different matter and any appraisal would end up as rather bland. This reflected an image of collaborative culture (see Hargreaves 1994). 'H' felt that appraisal was just another initiative and pressure. He also said that it was like any formal assessment such as in the national curriculum, just putting people under numbers or into categories. Winter (1989) had also said that appraisal may operate on teachers as their assessments did on pupils. As appraisal was of little immediate benefit, 'H' suggested that:

It might sound Luddite, but I'm sure legitimately there is a strong feeling of, here's the latest initiative or whatever, and the first thing you think of is, okay, do we do it first time round, or do we wait until they change the rules? Do we wait 'til they slim it down.

'H' saw appraisal as an attempt to check and control teachers when other processes were far more appropriate to help them. His image of appraisal was one of 'power over' rather than 'power with' (see Blase and Anderson 1995). It had been brought in as a response to the political image of teachers as being incompetent. It was more likely to demotivate many teachers than improve the few who needed it:

So you can bring in a sledgehammer for whatever percentage of teachers in whichever parts of the country aren't, for whatever reason able to do it, and you can seriously bugger-up the rest and demoralize them. Or you can say, these people are professionals, most of them know what they're doing, how do we assist the others and how about a pat on the back for the ones that do know what they're doing as well?

'J' had been at the school for eight years. Previously he had worked in factories, on farms and been unemployed before taking a degree and a teaching certificate. He was head of



business studies and IT coordinator. He enjoyed teaching but wished for more resources and that the job was more secure. He had no career aspirations and wanted to work until he was able to retire.

He was not an appraiser and like many others had not been appraised. 'J' had had two appraisers appointed but nothing happened which he put down to lack of time. 'J' was very sceptical of the whole process and critical of both the government and the school management. This reveals a 'them and us' attitude in relation to current policy developments (see Ball 1991):

Appraisal should be a good thing but I'm very wary of it because it's come from the government and I loathe this government. Its one more tool which they've got to weed out people who they think are not doing their job.

This again showed how the idea of appraisal for professional development was accepted but that there was still suspicion as to what it could really be used for. This mistrust had made staff feel vulnerable as Goddard and Emerson (1992) suggested.

He thought that appraisal had been imposed and was poorly organised in this school. 'J' saw it as a paper exercise which would peter out. This view reflected the circumstances of the school and the low priority appraisal had there:

You don't really think of appraisal when you might not have a job next year do you? ..... We're not developing as a school, we're shrinking. So we're becoming jack of all trades anyway... I suppose we're just getting by day to day most of the time, aren't we, in a way? Not quite like that because people do work hard ...

This quote shows, once again, feelings of intensification of the work process and deskilling due to external market forces and a falling roll. 'J' expected no personal benefit from appraisal and knew of no one who had received any. He saw part of the problem being that "these things are just imposed on schools". 'J' regarded this as helping to explain why the system had not been carried out properly:

Appraisal is not really a priority at the moment when we're fighting to keep kids coming to school, trying to get good exam results and we're trying to improve our lessons. Appraisal is not very high up on the list.

It has been pointed out by Winter (1989) and Elliott (1991) that line management appraisal would not be seen by teachers as leading to school improvement, only as a form of supervision over them.

'J' appeared worried about his job. He saw threats from the government and the senior management team as disorganised. Some of his unease may have stemmed from the

criticisms of IT in the OFSTED (1994) report and he felt under pressure as a result. He did not view appraisal as a help but merely as a hindrance, something else to check up on him. As a result he would only take part in appraisal when he could not avoid it.

'K' had been teaching for seven years and had been at this school for four of those. She was the youngest member of staff and was second in the languages department. 'K' felt affected by the fact that the school was contracting. The department had shrunk and fewer staff meant more to do and greater pressure. This had made it difficult for the head of department to appraise her. Thus she had never yet been appraised and neither had her head of department. They did not consider appraisal as something worth making time for:

The thing is you cannot get together, there's only the two of us fighting with four classes upstairs, with two supply teachers not really knowing what they were doing ..... we never have any free time at the same time, so one of you has to give up something to discuss what you're going to be appraised on. I think the time thing at this school is something big - a big issue. You've got to make time to do things and I know its not easy.

Here again the issue of intensification of the work process as the school had shrunk is illustrated. 'K' was not against appraisal and felt that perhaps it could help in her development. She did say that she looked to develop anyway and did not feel that she had lost out by not being appraised:

No, I don't think I'm that bothered..... it's not a major issue with anybody, people don't discuss it. But you don't feel, oh God I haven't been appraised, I've been left out. You see, you're talking about the minority that have been appraised, not the majority, as far as I'm aware.

'K' also felt that she was less likely to develop herself when no new ideas could be tried due to contraction. She was frustrated at this school and was leaving at the end of the current term in a sideways move, even though this involved a slight reduction in salary.

There were certain issues which arose from these five interviewees who had not been appraised, some of which were also significant for those who had. The majority of staff had been in post a long time and the youngest was leaving because of this very point. The age of staff was a particular factor to consider in the introducing of appraisal according to Wragg (1996). Growing old together may signify entrenchment, with already established positions being protected, what Hargreaves (1994) called 'balkanisation'.

There was a view that the professional nature of teaching involved self evaluation and professional discussion, conjuring an image of reflective practitioners. The benefits of a collaborative culture (Hargreaves 1994) were alluded to by 'H', 'G', and 'F'. The formal

appraisal process was seen as unnecessary. As Winter (1989) and Elliott (1991) suggested, it was resented as an intrusion on professional ways of working and also as a checking process.

When talking of teaching at the school, factors such as stress, criticisms of management, career prospects and redundancy were raised. Appraisal in such conditions was not perceived as something to help and was often regarded as a distraction, demotivating and even as threatening. There was certainly an awareness of how written documentation could be used in different ways in the future. OFSTED was frequently mentioned and appears to have had a significant influence on these teachers' lives.

The deputy head was also interviewed. 'L' was appraisal coordinator and responsible for staff INSET. She was critical of the implementation of appraisal and felt that it had been rather an expensive public relations exercise. Reflecting the views of Goddard and Emerson (1992), she said that:

If the government had had the power to set a much tougher system up, they would have done so, but they didn't have that power. so they had to put in a half baked system which they could get away with.

'L' said that all staff should now have completed the first year and half should have done the review. She was aware of problems but was not sure of how many had actually been completed:

It's one of these things where you're forced to do it, but nobody checks up to see if you have done it.

She did say that she had appraised six members of staff, though it appeared from those interviewed that not all elements of the process had been fully completed. As head of INSET she had received few requests based on appraisal targets from the head recently:

Sadly a lot of schools, and we're to some extent there as well, are paying lip-service to it; it's working in places but not overall.

The OFSTED (1994) report on the school had pointed out the lack of monitoring by heads of department generally and that this was something which needed attention. 'L' felt that appraisal should play a part in this. She suggested that perhaps an informal review could be conducted with all individuals by a senior manager and that heads of department could do observations as part of their monitoring. This would split the appraisal process into two parts. She hoped that this could help to separate the purposes of appraisal which was part of the problem which worried people. She thought that at least the monitoring and evaluation would then be more 'up front'.

'L' admitted that until this interview appraisal had not fed into school development planning or INSET allocation at all. The deputy admitted that the whole school development process was delayed. This weakness had been noted by the OFSTED (1994) report on the school and was again a sign of management being unable to put systems in place. The deputy was considering that, in future, all appraisals could be done in a two week period. This would ensure that everyone was 'done'. These comments indicated how appraisal had not been integrated into management procedures in the school. Management had little oversight of the appraisal process and appeared ineffective in enforcing it.

Thus the deputy had problems. There were issues raised by the OFSTED (1994) report on the school, involving management and systems. There were also specific school issues of staffing and a change in school structure which needed to be addressed.

Appraisal, though set up, had not been carried out and there was no monitoring of the process. To attempt to enforce appraisal vigorously may have only made the other problems worse. Legally something needed to be done, hence a future plan to complete the whole process for all staff in two weeks. There were issues in the introduction of appraisal which highlighted tensions between the power of the management and the professional autonomy and influence of the teachers. The deputy was in the middle of external forces acting upon the school and political issues within it. This situation highlights the micropolitical nature of this school as an organisation (Blase 1991).

## Chapter 7. Discussion and Analysis of the Data Gathered.

### School One.

In this oversubscribed comprehensive school were a large number of staff who had taught there for many years. There were also a number of newly qualified staff with differing backgrounds and experiences. This reflected the recent expansion of the school.

The senior deputy who was interviewed was satisfied with how appraisal had been introduced. The importance of sensitive introduction was similarly noted by Hughes and Jones (1994). She felt that changes now needed to be introduced in the form of clearer targets and appraisers taking more of a lead in the process. In her view, appraisal would then have more of an impact on classroom practice. These points were reiterated by the TTA and OFSTED (1996) and also, to a lesser extent, by Hopkins and West (1995).

The deputy and the senior teacher who had a responsibility for INSET, both noted a problem with linking appraisal to the school development plan due to the nature of its confidentiality, again a point noted by the TTA and OFSTED (1996). Senior management would have liked to have obtained more information from the appraisal process and to make it more effective in terms of results. This is an example of management aims of appraisal as outlined by Trethowan (1991) and also by Fidler and Cooper (1992). This may indicate, according to Mortimore and Mortimore (1991), how school managements have been adopting a *more industrial model of staff evaluation*. It may also show the development of managerialism in schools and how this has involved a need for closer monitoring of teachers (Ball 1991, Ozga 1995b).

Several other members of staff in management roles mentioned the use of appraisal as a possible aid to running a department and also as a means of improving teaching. Newer members of staff also saw appraisal as a legitimate management exercise and part of a monitoring process which could develop their classroom skills. In Elliott's (1996) analysis these views would illustrate the underlying ideology of control within the school effectiveness movement.

The majority of those interviewed expressed the view that appraisal had been introduced by the government to increase control of teachers and to weed out 'ineffective' teachers or at least to appear to be doing something. Many felt that appraisal was unable to do this but that it was also of little use for staff development. There were benefits mentioned in terms of personal contact and discussion. These points were reflected in the findings of national evaluations (Hopkins and West 1995, Barber et al. 1995, Wragg et al. 1996). However many staff questioned the effort taken to achieve these. Care was taken with what was written in many appraisal statements. This indicated a mistrust of

appraisal due to ambiguity of purpose of the process (Bell 1988a, Evans and Tomlinson 1989, Goddard and Emerson 1992).

A number of teachers already did, or expressed a desire to, work collaboratively. They suggested that staff could develop by sharing good practice and learning from each other. There was an image here of the reflective practitioner and professional development through action research and peer approaches to appraisal. These staff felt that formal line management forms of appraisal would not promote this way of working. A view endorsed by Elliott (1993).

Some staff did express significant worries regarding the appraisal process. Appraisal was seen as a form of management control over them and was thus regarded as a threat. Their view reflected how they perceived their position within the school. Appraisal became an aspect of 'power over' them (Blase and Anderson 1995), reinforcing the authority of line management.

In this school a form of line management appraisal was in operation as recommended by the Suffolk report (1985), ACAS (1986) and Circular 12/91. The cycle had suffered some 'slippage' due to OFSTED inspection pressures, a significant factor also noted in other schools by Barber et al. (1995). The full cycle was still being carried out. Reactions to appraisal varied and seemed linked to the position of teachers as 'situated actors' within the school hierarchy as explained by Reay (1996). Teachers reacted to policy changes according to their personal histories and experiences as was noted by Bosetti and O'Reilly (1996). There was evidence of accommodation, subterfuge and conformity (see Bowe et al. 1992). Using Bottery's terms (1996), there were examples of subversion, some staff testing the system, some waiting and seeing and, in at least one case, the respondent had embraced the new process.

Attitudes towards appraisal reflected the position of the teachers within the organisation and, by extension, differences in power, personal alliances and relationships. Appraisal was in this way closely linked to the micropolitical life of the school as discussed by Hoyle 1986, Ball 1987 and Blase 1991.

When reinterviewed in the summer of 1996, the deputy head still felt that appraisal was an expensive exercise and that, although some individuals may benefit, there was little effect on classroom practice. 'A' did outline an initiative started during that year in the school where teachers were paired to observe and discuss each other's lessons. She felt that this had generated wider discussion within departments and had been much more productive in considering classroom practice. 'A' had stressed to staff that this observation and discussion had nothing to do with appraisal and would not be recorded. Thus it appeared that the reflective practitioner approach involving a more collaborative approach was embraced to better effect by teachers than was appraisal.

## School Two.

The number of pupils on roll fell in the eighties and the school faced two closure threats. Over this period, which lasted into the early nineties, there had been a reduction in staff size and four headteachers. Throughout, there was the pressure of job insecurity and also an increase in responsibilities for the remaining staff with no extra remuneration. Both of these points were mentioned in the interviews. This reflected the intensification of the work process for staff at this school over this period (Apple 1986, Hargreaves 1994 and Gewirtz 1996). The school was now beginning to grow. Its future and those of the staff were becoming more secure.

The issues of age and stability of staff were seen by Wragg (1996) as being of importance when considering the effects of appraisal. A large number of the existing staff had been at this school for many years. There was now the potential for 'new blood' as the school began to grow and there was a need for more teachers. The size of the school and the stability of staff was likely to influence the 'manageability' of the school due to long term relationships and allegiances formed. This would be the coalition-building spoken of by Busher and Saran (1994).

The head stressed the development of 'open management' and collegiality amongst the staff. He was the recipient of information from processes concerning individuals and departments and was closely involved in all aspects of school development. This involved monitoring and evaluating, budgeting and planning. A number of staff had referred to their trust in the head in various ways. In a school of this size the head had been able to develop management systems and operate them himself. The formal and informal information gathered has perhaps served to increase his power through greater authority and enhanced influence. This illustrates, as Bush (1995) has pointed out, how heads possess significant power. It also shows how, in the analysis of Hoyle (1986), 'those in charge' are able to use certain strategies to maintain or extend their control. Significant methods included obtaining information and controlling meetings, both of which have been carefully developed by this head.

The head talked about sharpening the systems and making department heads more responsible for developing teams. This was presented as developing a collaborative approach and extending teacher professionalism. In the terms of Blase and Anderson (1995), this could be seen as developing teachers 'power with' each other. However, whilst it may have been developing managers professionally, it could also have resulted in increased monitoring of the rest of the staff. Changes in management control may thus contribute to the deskilling of the majority. In this way, the collegiality may be contrived as Hargreaves (1994) has indicated. The desire to strengthen line management may have

indicated changes in how teachers were being managed as market forces developed (see Ball 1991, Bottery 1996, Gewirtz 1996).

There was 'slippage' in the appraisal timetable due to the OFSTED inspection and a rush to complete the first year of the second cycle. This again echoes the findings nationally of Barber et al (1995). The majority of staff interviewed were 'dropping' the observations with the unofficial sanction of the head. The result was that this appraisal round became little more than a personal review for many of the appraisees. This shows the effects of other pressures on appraisal and also the low priority accorded to the process. Appraisal in this school may have been suffering from the 'implementation dip' described by Barber et al. (1995) and also noted by Embery and Jones (1995). In addition, this was also an example of how a legal process could be altered by those who were involved in carrying it out. The introduction of new legislation involved active interpretation and meaning making at each stage (Bowe et al. 1992).

Many staff were aware of the wider political implications of the introduction of appraisal. There was certainly concern over what was written down and how it could be used in the future. This again reflects the uncertainty over an official process supposedly set up for staff development and also for accountability purposes (Bell 1988, Evans and Tomlinson 1989, Goddard and Emerson 1992). A few staff thought that appraisal was useful for whole school improvement by providing information, promoting discussion and altering practice. However this view was generally held by those with management positions and from the perspective of being appraisers.

The line manager position of the appraiser over the appraisee became apparent in a number of the interviews. This illustrates how appraisal may have reinforced management structures and the power of some 'over' others (see Blase and Anderson 1995). Again some may be seen to have gained in professional status and increased control at the expense of others resulting in the deskilling of many staff (see also Ozga 1995b). This led to members of staff adopting approaches which are appropriate to their position as situated actors in the school hierarchy as Reay (1996) has explained. As in other political contexts, interaction became a game of social strategies (Goffman 1990).

Many staff felt that appraisal was not of particular benefit because of its formal nature, which was seen by some as a potential threat. A number of staff did feel that they had benefited from the personal discussions during appraisal. This portrays the image of the professional teacher and has also been found in other evaluations of appraisal (Hopkins and West 1995, Hattersley 1995, Wragg et al. 1996). This may also have been due to a sympathetic introduction of appraisal and how appraisers tried to make the process less onerous and more humane, a reaction noted by Deming (1986), in how managers interact with individuals when faced with initiating a potentially threatening process.

It was suggested in many interviews that the school culture, and how individuals worked within it, was by nature collaborative, suggesting images of the reflective



practitioner (Schon 1983). This was explained by those interviewed as being due to the small number of staff combined with the open plan nature of the school. For many this removed the threat of appraisal but made it of little use apart from as further discussion of their work. This was seen as a weakness of the current operation of appraisal by Shephard (Rafferty 1996), Woodhead (Carvel 1996), the TTA and OFSTED (1996).

The head was reinterviewed one year later. He had planned in the next round to appraise as many heads of department as possible, certainly the ones he had not appraised so far. By doing this he hoped to link the process in more with the departmental review. This may be seen as a logical step in further integrating forms of evaluation into the school development process. It could be part of a more open discussion involving whole departments. It may also, however, be seen as further increasing the power of the head as the individual focus of appraisal would be merged with that of the department. This would give the head more control over the agenda of the appraisal, a development welcomed by the TTA and OFSTED (1996).

### School Three.

The contraction of the school due to the loss of sixth form and falling pupil rolls had had a noticeable effect upon the organisation. There was a reduced number of staff due to redeployment, redundancy and retirement. The increased workload for those remaining was mentioned in the interviews. Staff were increasingly required to teach in unfamiliar areas and there was a feeling of being under pressure through lack of time. This again reflected the intensification of the work process due to increased external requirements regarding the curriculum with fewer staff to deliver it. The decreasing job security, heightened by a threat of future school closure, indicates how the position of these teachers was increasingly similar to that of other industrial workers (see Ball 1991). This was reflected in comments by the interviewees about how the nature of teaching had changed in recent years.

The OFSTED (1994) report on the school criticised the absence of monitoring by senior management and heads of department. The lack of a detailed development plan and management targets were also criticised. This is indicative of the wider official emphasis placed on developing school management systems and the change in the nature of school management. This is also reflective of the values underpinning the school effectiveness movement (Elliott 1996).

There had been problems caused by the head (and other members of staff) being on long term absence. The criticisms of OFSTED (1994) indicated the effect of the head's absence on the development and enforcement of line management procedures. This illustrates the significance of a head teacher in the running of a school and the developing of management structures (Hoyle 1986, Ball 1987 and Grace 1995). The relatively loosely coupled nature of the school organisation which had evolved shows how staff were able to operate with relative autonomy in their subject area and within their own classrooms. Departments thus became significant power bases within the school and individuals were able to neutralise structural power, as noted by Ganderton (1991). There was also evidence in the interviews of coalition building (Busher and Saran 1994). As a result of these factors, the majority of staff interviewed had been able to ignore the appraisal process.

When reinterviewed in the summer of 1996, the deputy admitted that the school had not completed the previous rounds of appraisal. She was hoping to have all appraisals taking place in the first two weeks of the next academic year. She felt that this would ensure that they were all carried out. This appeared to be simply a way of enforcing procedures in a way that staff would find difficult to subvert. There was scant regard for the outcomes of appraisal carried out in such a way.

A significant number of staff had been teaching at this school for many years. This was a factor which had reduced the chances of them moving to a different school. When

the contraction of the school was also taken into account their prospects of future promotion seemed greatly reduced. Many of those interviewed accepted that they were unlikely to move. Wragg (1994) noted that the ageing nature of the teaching force was a significant factor in the introduction of appraisal. He also pointed out that any process attempting to alter the practices of long-serving staff must be sympathetic and deep rather than adopt a surface approach. This would take time to show any effect (Wragg et al. 1996). Staff stability at this school was likely to lead to greater 'balkanisation' (Hargreaves 1994) and more resistance amongst groups of staff when threatened with external changes.

There was a high level of cynicism amongst the staff regarding the motives behind the government's introduction of appraisal. It was seen as a means of increasing the control over the work of teachers, or at least giving a public image of doing so. There was concern expressed as to how the information from appraisal could be used in the future. This reveals a mistrust of the stated aims of appraisal and an awareness of how the purposes could change once in place. The dangers of trying to develop a model of appraisal which attempts to combine elements of professional development alongside increasing accountability, as the legislation appears to have attempted, have been warned against (Bell 1988, Evans and Tomlinson 1989, Goddard and Emerson 1992).

A number of the interviewees reported a collaborative view of professional development where staff learned from each other. Teachers were seen as reflective practitioners (Schon 1983), engaged in an informal process which should be encouraged. The formal appraisal system played no part in this and may even have been seen as threatening. It was noticeable that one member of staff, perhaps in frustration at his position, felt that appraisal should be given more of a 'cutting edge' so that it could make a difference. This view follows the line taken by Shephard (Rafferty 1996), Woodhead (Carvel 1996) and also by the TTA and OFSTED (1996).

Few staff appeared to have completed an appraisal cycle. They had either not started or had given up during the process. Other pressures were cited as being more important, with the OFSTED inspection and the effects of an absent head being amongst the most significant. These were factors also noted by Barber et al. (1995) in causing appraisal to suffer from 'implementation dip'.

Teachers were able to interpret policy changes according to their own experiences (Bosetti and O'Reilly 1996). The respondents showed a variety of responses to the introduction of appraisal. Examples may be seen of resistance and subterfuge (Bowe et al. 1992). In Bottery's (1996) terms, some staff were attempting to defy appraisal and this is shown by ignoring and even subverting the process. Only in a very few cases has the process been tested and just one member of staff was found who could be said to have embraced the process in any way.

The interview responses illustrate how, in the terms of Reay (1996), staff were hierarchically situated actors and reacted accordingly. The ability of the staff to ignore

the process again indicated the loose coupling which existed within the school. The deputy head was unaware of how many appraisals actually had been completed. In keeping with the view of Bush (1995), the turbulence of the external context in which the school was operating appeared to have added to the ambiguity of the decision making process within the school. Thus the introduction of appraisal as an external requirement could only be fully understood within the sociopolitical and cultural context of this particular school (Blase 1991).

## Final Summary.

The three comprehensive schools examined in this study have all been affected by national issues. They were part of the market in education and, as such, were in direct competition with other secondary schools for pupils. All have been subject to OFSTED inspections and the publication of league tables of exam results and pupil attendance. They have all had to implement the national curriculum. These national policies are linked to the change in the nature of the management of schools and teachers as noted by Grace (1995). This has involved a closer monitoring of, and tighter control over, the work of teachers in the drive for greater 'efficiency' and 'value for money'. Emphasis has been placed on the effective management of schools in what Ozga (1995b) has described as the 'post Keynesian welfare state'.

The schools in this study, in addition to facing national policy changes, have all lost sixth forms in a reorganisation of provision. They have also all faced added competition in the form of a newly built CTC. School One has remained full over the period and has expanded over the last five years. It was currently a grant maintained school. In the 1980s School Two suffered from falling rolls. These had stabilised and the school was now slowly growing. School Three was now going through a period of contraction which had involved both a fall in pupil numbers and a reduction in staffing.

These changes in the schools have been linked not only to national policy but also to local social and political factors. This was evidenced by decisions and campaigns involving school closures and amalgamations which have influenced all three schools in different ways. As Gewirtz (1995) has shown, post-welfarist developments affected schools differently depending upon such factors as local politics, social and economic context and also the stance of individual headteachers.

Teachers were aware of wider policy issues. The likely effects of these policy issues were summarised by teachers, as Bosetti and O'Reilly (1996) have explained, in terms of their past experiences and personal histories. Each of these schools had a relatively ageing staff, many of whom had been in post for a number of years. This had implications for the social relationships and networks in each school and what Hargreaves (1994) termed 'balkanisation' within the school. Wragg et al. (1996) noted the difficulty of changing the attitudes and practices amongst such staff.

In each school the teachers talked about the pressures of OFSTED, the impact of curriculum change and the issue of competition with other schools which was felt to influence their job security. These appear to have caused the most anxiety in the school under the greatest pressure for survival, School Three. These concerns are a powerful

manifestation of the intensification and loss of control over the work process as identified by Apple (1986), Hargreaves (1994) and Gewirtz (1996).

Wragg (1994) noted that appraisal had been given differing priority from one LEA to another in terms of its introduction. This was generally related to varying levels of funding. Each of the three schools had implemented the LEA scheme in its own way. The staff in each school are seen to be carrying out the process as they interpret it. As Bowie et al. (1992) noted, the process of implementing national policy was interpreted and amended at each stage. This was seen as an active process involving political processes at every level.

Each school set up a working party in line with LEA recommendations. This may be seen as a form of contrived collegiality (Hargreaves 1994) in how the working parties actually produced the required appraisal system. It is what Busher and Saran (1994) called process participation. School Three was unable to set up a working party and this perhaps points to the difficulties of the school management and the influence of different groups of staff in disrupting the attempt at contrived collegiality. This showed the effects of balkanisation.

There were differences in how the appraisal systems were set to operate in each school. However, all three schools designed a line management approach with seemingly no consideration of alternatives (School Two did allow some choice in appraiser but was still basically line management). Appraisal became therefore, part of the development of line management structures and the evolving of managerial ideology described by Elliott (1991). Certainly, for many appraisers and appraisees the process seemed to restate, and thus reinforce, the existing school hierarchy. Each school had suffered 'slippage' with OFSTED being cited as the main reason. School Three appeared to have suffered a total collapse of appraisal due to 'other pressures'. School Two had encouraged the neglect of lesson observation in order to complete the process, a tendency identified by Wragg et al. (1996).

It has been suggested that to be an effective part of school improvement, appraisal should feed into school development planning (Fidler and Cooper 1992, Jones and Mathias 1995). There was an issue of confidentiality with the current appraisal system and the School One senior management felt that this was hampering the benefits which could be accrued from appraisal. This was also pointed out by the TTA and OFSTED (1996). This was less of an issue at School Two. There the head had personal control of all of the management systems which illustrates how he had been able to develop his personal power (Hoyle 1986) in this smaller comprehensive school. School Three was yet to confront this issue since appraisals had not been completed and, as pointed out in the OFSTED (1994) inspection, their development planning was at an early stage.

Some members of staff at the schools saw appraisal as a useful part of the school development process. Along with many management theorists on appraisal (Trethowan

1991, Fidler and Cooper 1992, Horne and Pierce 1996), they thought that it would aid the management of teachers and improve classroom practice. This opinion was generally held by those with management positions or those who were newly qualified staff. This may be a view of increased professionalism through the development of management skills (Hoyle 1995). Certainly in terms of being involved in the appraisal working party and the development of appraisal skills, some staff appear to have gained by the introduction of this initiative as Ball (1987) suggested happened with all policy changes and developments.

In all of the schools teachers voiced suspicion as to the motives of the government in the introduction of appraisal. This perhaps reflects the mistrust of a process which purported to professionally develop whilst also increasing accountability (Bell 1988, Evans and Tomlinson 1989, Goddard and Emerson 1992). Many of those interviewed felt that appraisal was no longer a danger to their position due to how it had been implemented. This careful introduction was seen as vital by many (see for example Hughes and Jones 1994).

Some misgivings did still exist and there was an awareness of how this unthreatening state of affairs could alter. Apple (1988) has pointed out how, once introduced, the whole nature of such a process could alter. This was reflected in the care taken by the respondents over what was written down. A significant minority did see appraisal in its current form as an existing threat and as increased surveillance over them. Thus appraisal may be seen in terms of the increasing monitoring and surveillance process outlined by Ozga (1995b), which enhances the feelings of professionalism amongst the appraisers yet at the same time intrudes upon the professional sphere of the appraisees. Ozga (1995b) would see this as being part of the deskilling process for the majority.

Many staff held an image of the teacher as extended professional and were either involved in collaborative cultures or would have liked to see them develop. In these cases a more appropriate form of appraisal would be regarded as the peer or action research type of process suggested by Winter (1989), Burgess (1989), Elliott (1991, 1993) and Humphreys and Thompson (1995).

Whereas many staff would like to have abandoned appraisal or to have seen it changed, the management at each of the schools would also like to have seen modifications. The management of School One would have liked the targets 'sharpened' with the appraisers taking more of a lead in the process. The stated aim of this was to have a greater effect on classroom practice. These changes, endorsed by the TTA and OFSTED (1996) would have served to further strengthen line management authority and increase the monitoring of classroom teachers. In Reay's (1996) view, this is how the discourses of school effectiveness and new managerialism work together to institute processes of internalised surveillance which ultimately result in teacher compliance.

The head of School Two would have liked appraisal brought more into the departmental review process. He was also hoping to appraise those heads of department that he had not appraised so far. This again was in line with TTA and OFSTED (1996) recommendations in terms of linking appraisal into other school monitoring procedures and also strengthening line management accountability. This change could be seen as more open and purposeful management involving discussion and collaboration between departments and senior management. It may also have been the head attempting to increase his power by strengthening the middle management. Grace (1995) would perhaps view this as part of the development of another separate strand in an increasingly differentiated teaching force. Monitoring would be increased and at the same time the issue of appraisal confidentiality rendered less important.

The senior management of School Three would, in the first instance, have liked to ensure that it was able to enforce appraisal procedures. To do this it had been suggested by the deputy head that every member of staff would be appraised in a two week period at the start of the academic year. It may be difficult to see the benefits of such an exercise apart from fulfilling a legal requirement and enforcing a management procedure.

Changes have been desired by management to make the schools more responsive to the market. These have involved attempts to increase quality assurance (Bottery 1996). In each of the schools this has created a need to increasingly monitor the work of teachers. A further increase in the power of management has been involved in order to manage the educational process even down to the classroom level. This increased control by management may be seen as an attempt to reduce the loosely coupled nature of schools. As part of these developments the professional nature of the work of teachers has moved in emphasis from the extended back to the restricted in terms of focusing on classroom practice and performance objectives (Hoyle 1995). Elliott (1996) has seen this ideology reflected in the emphasis and growth of school effectiveness research. In this process, according to Ozga (1995b), the senior management of secondary schools have perhaps been unwittingly complicit in developing the competitive market between schools and the tighter control of teachers desired by the government.

However, teachers, like other workers, have not been passive recipients of policy change and have developed strategies of resistance (Lawn 1988 and Salaman 1986). In each of these schools teachers have reacted in various ways to appraisal. These strategies could be seen to be different depending upon the issues in that particular establishment and also the role of the individual teacher within the school. This last point related to their individual power and whether they were appraisers or appraisees. As Reay (1996) pointed out, issues of hierarchy and relative power are central to understanding teacher interaction.

In analysing the interview data there were examples of resistance, subterfuge, accommodation and conformity (Bowe et al 1992). Teachers were seen to defy, subvert and



ignore appraisal. Some had tested it and were waiting to see developments, a few had actually embraced the process and saw it as useful (Bottery 1996).

The attitudes of teachers to their work perhaps evidences the nature of professionals working in organisations (Ribbins 1988 and Avis 1994). From this perspective teachers seek personal development through collaboration and attempt to maintain some degree of expert status and authority. As such there is a resistance to wider control. Busher and Saran (1994) pointed to the traditional sharing of the culture of the followers by the leaders in such professional organisations. There have been changes and developments in recent years in the management of schools. What Bottery (1996) called the 'new public management' has required a need for closer monitoring in the drive for greater school effectiveness.

The interests of all those involved seemed significant in whether appraisal was carried out or not and to the nature of the process. Power in its various forms of authority and influence, as identified by Hoyle (1986, 1988) and Bush (1995), played a significant part in the outcomes. Smyth (1996) pointed out that schools are highly politicised places where issues such as organisational culture, pedagogy, administration and evaluation are being continually contested, confronted, resisted and reconstructed.

Each school in the study may be seen in certain respects as unique. The levels of ambiguity of administration within each as a formal organisation may be said to have reflected the turbulence in which they existed. This was very different in each case. One school was oversubscribed and had been so throughout its recent history. Another school had seen a great reduction in size and threats to its existence but was now steadily growing. The third school was suffering a rapid decrease in pupil numbers, a fall in staffing and increasing insecurity in its existence.

The level of ambiguity in each of these schools may be seen as significant in how teacher appraisal operated. Ganderton (1991) noted the extent to which departments were able to operate autonomously as power bases and the levels to which individuals were able to develop strategies for neutralising structural power. This may have indicated balkanisation (Hargreaves 1994) within different parts of the organisation. High levels of ambiguity in terms of management control and varying expectations from different groups of staff, may be how teachers at one of the schools seemingly ignored appraisal. Differing responses to the appraisal process also indicated that some ambiguity, though less extreme, may be seen in the other two schools.

From the preceding discussion, teacher appraisal may be considered an important aspect of debates regarding the future of education. It has had a significant part to play in the image of teaching as a profession. Appraisal has been central to issues of power and decision making in schools and the nature of educational management. These debates have

taken place at a national level but have also been reconstructed through political actions and relationships within each school by those involved within it.

In returning to the original research questions, it is hoped that this research by looking at three comprehensive schools as examples, has illustrated the following points.

The implementation of teacher appraisal has varied greatly from school to school. This has applied even if the schools were geographically close.

The external conditions in which each school operated has had a significant effect on the introduction and operation of appraisal. The particular internal conditions of the organisation were also significant in how appraisal operated within each school.

There were differing views held by teachers regarding the purposes of appraisal. These reflected the personal values, histories and, significantly, the position within the school hierarchy, of those teachers. Thus appraisal could be seen either as a means of staff development, an aid to managing the school or a form of control over individuals by different teachers within the school.

There were issues of power and authority involved in appraisal. These were micropolitical in nature. They reflected professional relationships, managerial relationships and individual relationships between members of staff. These relationships have influenced how appraisal has been carried out and the effects of the process for individuals and the whole school.

In conclusion it could be noted, as Bush (1995) pointed out, that making a policy does not determine how it will be carried out or even if it will be. There has been interpretation, negotiation and conflict at every stage (Bowie et al. 1992). The diverse nature of schools and the circumstances in which they operate leads to variations in the implementation of any national policy. How those affected view the purposes of each policy influences their response. Teachers are not passive acceptors of external initiatives. They will attempt to use, change or ignore these whenever appropriate (Bartlett 1996b).

This thesis has shown how three secondary schools in close geographical proximity differ in many ways. These differences reflect the history of each school. The appraisal process itself varies from school to school. However, there are certain common patterns which are significant.

The strongest common factor concerning appraisal is that a line management approach was set up in each school. This has certain ideological implications for all staff in terms of collaboration, involvement and power relationships within each school.

It is proposed that appraisal should be analysed in terms of the three main groups involved: senior management, the appraisers and the appraisees. Consideration needs to be given, in the case of each of the groups, as to how appraisal has affected them in terms of the gains and losses they have made from the process. Analysing appraisal from these three standpoints highlights the different ways in which appraisal may be used. The power relationships between the three groups would also become apparent. The suggestion is that it is the form which appraisal takes and the differing power relationships which help to divide staff into these three groups. Within each of the groups very different aspects of appraisal may be considered as most important.

In the senior management group concerns will centre on how appraisal has been carried out and what information has been obtained. The main interest for senior management is in how appraisal can aid the effective management of resources and ultimately how it can be used to alter teaching in line with 'effective teaching' criteria.

The key points, when examining the position of this group in relation to appraisal, is their ability to enforce the process, to gather data and, ultimately, to change the practice of other teachers.

With the appraisers the main focus of analysis may be on the enhancement of their position as a result of their functions in the appraisal process. Their privileged position of interviewing and observing subordinates needs consideration in any research. Line managed appraisal emphasises the superior position within the organisation of the appraiser in relation to the appraisee. This position enables them to legitimately seek what may be seen by appraisees as sensitive and confidential information in a one way process. The assumption of such a hierarchical approach is that appraisers are able to help appraisees in their career development. These paternalistic overtones may allow the appraiser to feel caring, considerate and sympathetic whilst actually reinforcing their power over the appraisee. Appraisers are a key group in deciding whether appraisal takes place or not and how it is actually carried out. Ultimately they will write the statement and the targets for the teachers whom they are appraising.

The key interest for researchers, when examining appraisers, is how they are able to enhance and reinforce their position through appraisal.

When considering the appraisees analysis should consider how they are compelled to follow a procedure enforced by management. To what extent the appraisees actually feel controlled and threatened by the process and how they respond to it are important questions for any investigation into appraisal.

The key interests for researchers, when examining this group, are to do with how their autonomy has been threatened or eroded. This will lead to an examination of strategies adopted to protect or improve their position within the organisation.

Within all three groups, how individuals see appraisal and react to it will reflect their views of the nature of teaching. The actual outcomes of appraisal will be a result of the political process which has taken place. This will differ from school to school and also between staff within each school.

Management may wish to alter the nature of appraisal in order to obtain more information. Appraisers may try to put pressure on appraisees in setting targets. Appraisees may feel threatened by the process or perhaps skilful enough to avoid areas they do not want appraised. They may even wish to use appraisal for their own advantage. Any of these three groups may attempt to sabotage the appraisal process with varying results. All those involved may go through the appraisal cycle, aware of its sensitive nature, trying to not upset the other parties. In this way it may be of little use to any of them.

It is suggested that this analytical framework may be used in examining any appraisal system. Its purpose is to highlight the nature of power relationships between groups and individuals which will play a significant part in any organisational process.

## Chapter 8. Future Considerations.

All schools in England and Wales have had to introduce and carry out staff appraisal, regardless of how appropriate this was to them and their circumstances. Appraisal can be seen to have several purposes. One of these is to make teachers more accountable in their working practices. This involves increased monitoring of the teaching process. Another purpose is to develop teachers professionally by encouraging reflection and consideration of their teaching practice. Both of these aims can be said to have the same end in mind, this being the improved educational experience of the pupil. However the two approaches have not sat easily together as they involve different images of the nature of the professionalism of teachers and the task of teaching.

Perhaps as a result of this basic conflict of purpose, the appraisal system which was introduced appeared flawed. In attempting to achieve both of the foregoing aims the process was compromised and fulfilled neither. Appraisal, as it was set up, appeared unable to monitor staff effectively or to alter existing practice. The process was not flexible enough, nor was it trusted enough to allow staff to share experiences and to learn from each other.

What is needed is, as Scholtes (1995) suggested, a 'debundling' of the whole appraisal process. This involves a consideration of what the aims of appraisal are and how these may be realistically achieved. The Secretary of State for Education has made it clear that she would wish performance to be increasingly related to pay. There are suggestions of an annual assessment of teachers which would be linked to the granting of increments. It could be argued that this would involve the increased development of what Bottery (1996) termed the 'new public management'. There would need to be tighter systems of surveillance and monitoring of teachers. This would effectively lead to what Ozga (1995) and Hoyle (1995) saw as the increased deskilling of teachers as professionals.

If the aim is to develop the professional skills of teachers then they need to trust and feel in control of the appraisal process. This involves removing the line management supervision and the current emphasis on appraisal statements and targets. The whole appraisal system could be made more open by removing the focus on individual performance. This would allow peer and group appraisal, designed to encourage sharing and learning from each other through the development of discursive consciousness, as suggested by Elliott (1993). The whole appraisal process would then become more action research based.

In its present form appraisal appears unable to fulfill any of the expectations made of it. It is an expensive process and, as such, is likely to die out or to be modified drastically.

Any changes are likely to attempt to make the process more effective in fulfilling one or other of the above aims.

Open discussion and sharing by teachers as reflective practitioners may help to restore some form of cooperative development leading to a 'better education for all'. However, within the 'post welfarist educational policy complex' (Gewirtz 1996), there are more likely to be increasing attempts to develop controls over teachers by management which build upon existing mistrust and conflict. A significant consideration to be taken alongside all policy change must be the micropolitics within each school and the reactions of different groups to that change.

Whilst the analysis of a small number staff in three schools had the strength of yielding in-depth data regarding the introduction of, and responses to appraisal, certain weaknesses must be acknowledged. The sample size was small and from a limited geographical area. Research needs to be carried out involving larger numbers of staff in order to strengthen the analysis of the personal histories and experiences of teachers, their position in the school hierarchy and the relationship this has to their views concerning staff appraisal.

A large number of schools need to be compared to consider the circumstances, both internal and external, in which the schools operate and the running of appraisal within them. Longitudinal research could consider the actual effects of appraisal over time. This would attempt to show how, over a number of cycles, appraisal was used by and affected staff in various ways. Thus analysis would move from perceptions, hopes and fears of appraisal to more concrete examples of action and results. This would illustrate more clearly how processes change over time as they are adapted by those operating within them and the micropolitical process involving power at different levels.

## Bibliography.

ADVISORY, CONCILIATION AND ARBITRATION SERVICE. (1986) Teachers' Dispute ACAS Independent Panel. Report of the Appraisal Training Working Group. London, ACAS.

APPLE, M. (1986) Teachers and Texts. London: Routledge and Kegan Paul.

APPLE, M. (1988) Work, class and teaching. in OZGA, J. (ed) Schoolwork. Approaches to the Labour Process of Teaching. Milton Keynes: Open University Press.

ATKINSON, P. (1992) Understanding Ethnographic Texts. London: Sage Publications.

ATKINSON, P. & DELAMONT, S. (1985) Bread and Dreams or Bread and Circuses? A Critique of 'Case Study' Research in Education. in SHIPMAN, M. (ed) Educational Research: Principles, Policies & Practices. London: The Falmer Press.

AVIS, J. (1994) Teacher Professionalism: One More Time. Educational Review, Vol. 46, No. 1. pp. 63-72.

BACHARACH, S. (1988) Notes on a Political Theory of Educational Organisations. in WESTOBY, A. (ed) Culture and Power in Educational Organisations. Milton Keynes: Open University Press.

BALL, S. (1988) Staff Relations During the Teachers' Industrial Action: Context, Conflict and Proletarianisation. British Journal of Sociology of Education, Vol. 9, No. 3, pp. 289-306.

BALL, S. (1987) The Micro-politics of the School. London: Routledge.

BALL (1990) Politics and Policy Making in Education: Explorations in Policy Sociology. London: Routledge.

BALL, S. (1994) Education Reform. A Critical and Post-Structural Approach. Buckingham: Open University Press.

BALL, S. & BOWE, R. (1991) Micropolitics of Radical Change: Budgets, Management, and Control in British Schools. in Blase, J (ed.) The Politics of Life in Schools. Power, Conflict, and Cooperation. London: Sage Publications.

BALL, S. BOWE, R. GEWIRTZ, S. (1996) School Choice, Social Class and Distinction: The Realisation of Social Advantage in Education. Journal of Education Policy. Vol. 11, No. 1, pp. 89-112.

BARBER, M. EVANS, A. JOHNSON, M. (1995) An Evaluation of the National Scheme of School Teacher Appraisal. A Report for the Department for Education. London: Department for Education.

BARRACLOUGH, P. (1991) Appraisal in Cumbria. Management in Education, Vol. 5, No 3. pp. 34-36.

BARTLETT, S. (1996a) The Future of Teacher Appraisal. Forum for Promoting 3-19 Comprehensive Education, Vol. 38, No. 3, pp. 86-88.

BARTLETT, S. (1996b) Teacher Appraisal: Who is Kidding Who? British Journal of In-Service Education, Vol. 22, No. 1, pp. 7-17.

BARTON, L. BARRETT, E. WHITTY, G. MILES, S. FURLONG, J. (1994) Teacher Education and Teacher Professionalism in England: Some Emerging Issues. British Journal of Sociology of Education, Vol.15 No. 1, pp. 529-543.

BECKER, H. (1962) The Nature of a Profession. Yearbook - National Society For The Study of Education, Vol . 61, part 2, pp. 27-46.

BECKER, H. (1968) On Labelling Outsiders. in RUBINGTON, E. & WEINBERG, M. Deviance. The Interactionist Perspective. London: Macmillan.

BELL, J. (1993) Doing Your Research Project. Buckingham: Open University Press.

BELL, L. (ed.) (1988) Appraising Teachers in Schools. A Practical Guide. London: Routledge.

BELL, L. (1980) The School as an Organisation: A Reappraisal. British Journal of Sociology of Education, Vol. 1, No. 2, pp. 183-192.

BLASE, J (ed.) (1991) The Politics of Life in Schools. Power, Conflict, and Cooperation. London: Sage Publications.

BLASE, J. & ANDERSON, G. (1995) The Micropolitics of Educational Leadership. London: Cassell.



BOLLINGTON, R. HOPKINS, D. WEST, M. (1990) An Introduction to Teacher Appraisal. London: Cassell Educational.

BOSETTI, L. & O'REILLY, R. (1996) The Evaluation of Teachers: Towards Teacher Growth. Journal of Education Policy, Vol. 11, No. 2, pp. 155-158.

BOTTERY, M. (1996) The Challenge to Professionals From the New Public Management: Implications for the Teaching Profession. Oxford Review of Education. Vol. 22, No. 2, pp. 179-197.

BOWE, R. BALL, S. with GOLD, A. (1992) Reforming Education and Changing Schools. Case Studies in Policy Sociology. London: Routledge.

BOWE, R. BALL, S. GEWIRTZ, S. (1994) 'Parental Choice', Consumption and Social Theory: The Operation of Micro-Markets in Education. British Journal of Educational Studies, Vol. 42, No. 1, pp.38-52.

BOWLES, S. & GINTIS, H. (1976) Schooling in Capitalist America. London: Routledge and Keegan Paul Ltd.

BRAVERMAN, H. (1974) Labor and Monopoly Capital: The Degredation of Work in the Twentieth Century New York: Monthly Review Press.

BRITISH DEMING ASSOCIATION (1992) Performance Appraisal and all That. Salisbury: Laverham Press.

BURGESS, R. (1989) A Problem in Search of a Method or a Method in Search of a Problem? A Critique of Teacher Appraisal. in SIMONS & ELLIOTT (eds) Rethinking Appraisal and Assessment. Milton Keynes: Open University Press.

BURGOYNE, J. (1994) Stakeholder Analysis. in CASSELL, C. & SYMON, G. (eds) Qualitative Methods in Organizational Research. A Practical Guide. London: Sage Publications.

BURTON, D. (1995) Defining the Role of the University Mentor in Initial Teacher Education. Mentoring and Tutoring, Vol. 3, No. 2. pp. 50-55.

BUSH, T. (1995) Theories of Educational Management. London: Paul Chapman Publishing Ltd.

BUSHER, H. & SARAN, R. (1994) Towards a Model of School Leadership. Educational Management and Administration, Vol. 22, No. 1. pp. 5-13.

BUSWELL, C. (1988) Pedagogic Change and Social Change. in OZGA, J. (ed) Schoolwork. Approaches to the Labour Process of Teaching. Milton Keynes: Open University Press.

CALLAGHAN, J. (1976) Towards a National Debate. Education 22 October, 1976 pp. 332-333

CAMBRIDGE INSTITUTE OF EDUCATION. (1989) Report on the Evaluation of the School Teacher Appraisal Pilot Study. Cambridge: Cambridge Institute of Education.

CARVEL, J. (1996) So Where's The Praise in Appraisal? Guardian. 23/4/96 pp. 4-5.

CASELL, C. & SYMON, G. (1994) Qualitative Research in Work Contexts. in CASELL, C. & SYMON, G. (eds) Qualitative Methods in Organizational Research. A Practical Guide. London: Sage Publications.

CHITTY, C. (1989) Towards a New Education System: The Victory of the New Right. Lewes: Falmer Press.

CHITTY, C. (1992a) The Education System Transformed. Manchester: Baseline Books.

CHITTY, C. (1992b) The Changing Role of the State in Education Provision. History of Education, Vol. 21, No. 1, pp. 1-13.

CICOUREL, A. V. (1976) The Social Organisation of Juvenile Justice. London: Heinemann.

CLANDININ, D. KENNEDY, M. LAROCQUE, L. PEARCE, M. (1996) Living the Tension: Teacher Stories of Teacher Evaluation. Journal of Education Policy, Vol. 11, No. 2, pp. 169-183.

CLANDININ, D. & CONNELLY, F. (1996) Teacher's Professional Knowledge Landscapes: Teacher Stories - Stories of Teachers - School Stories - Stories of Schools. Educational Researcher, Vol. 25, No. 3, pp. 24-30.

CLARKE, K. (1991) Education Secretary Addresses the North of England Education Conference. Department of Education and Science News 2/91. London: DES.

COPLEY, J. & THOMAS, D. (1995) Comprehensively Appraised. Management in Education, Vol. 9, No. 4, pp. 5-6

CORBETT, D. H. (1991) Community Influence and School Micropolitics: A Case Example in BLASE, J (ed.) The Politics of Life in Schools. Power, Conflict, and Cooperation. London: Sage Publications.

CRESWELL, J. (1994) Research Design. Qualitative and Quantitative Approaches. London: Sage Publications.

DALE, R. (1979) The Politicisation of School Deviance: Reactions to William Tyndale. in BARTON, L. & MEIGHAN, R. (eds) Schools, Pupils and Deviance. Driffield: Nafferton.

DARLING-HAMMOND, L. (1989) Evaluation and the Teaching Profession. in EVANS & TOMLINSON (eds) Teacher Appraisal: A Nationwide Approach. London: Jessica Kingsley Publishers.

DEARING, R. (1992) The National Curriculum and its Assessment: Final Report. London: SCAA.

DEMING, W. (1986) Out of the Crisis: Quality, Productivity and Competitive Position. Cambridge: Cambridge University Press.

DENZIN, N. (1970) The Research Act. Chicago: Aldine.

DES (1985) Better Schools. London: HMSO.

DES (1989) School Teacher Appraisal: A National Framework. Report of the National Steering Group on the School Teacher Appraisal Pilot Study. London: HMSO.

DES (1991) School Teacher Appraisal. (Circular 12/91). London: DES.

DES (1983) Teaching Quality. London: HMSO.

DOWNIE, R. S. (1990) Professions and Professionalism. Journal of Philosophy of Education, Vol. 24, No. 2. pp. 147-159.

DUCKET, I. (1991) Promoting Appraisal Through an Active Staff Development Programme. School Organisation, Vol. 11, No. 2, pp. 153-169.

- ELLIOTT, J. (1991) Action Research For Educational Change. Milton Keynes: Open University Press.
- ELLIOTT, J. (1993) What Have We Learned From Action Research in School-based Evaluation. Educational Action Research, Vol. 1, No.1, pp. 175-186.
- ELLIOTT, J. (1996) School Effectiveness Research and its Critics: Alternative Visions of Schooling. Cambridge Journal of Education, Vol. 26, No. 2, pp. 199-224.
- EMBERY, C. & JONES, J. (1995) You Win Some You Lose Some. Management in Education, Vol. 9, No. 4, pp. 12-13.
- EMBERY, C. & JONES, J. (1996) Appraisal: Monitoring and Evaluating its Progress. Educational Research, Vol. 38, No. 2, pp. 123-131.
- ETZIONI, A. (ed) (1969) Readings on Modern Organisations. Englewood Cliffs (N. J.): Prentice Hall.
- EVANS, A. & TOMLINSON, J. (1989) Teacher Appraisal: A Nationwide Approach. London: Jessica Kingsley Publishers.
- FIDLER, B. & COOPER, R. (eds) (1992) Staff Appraisal and Staff Management in Schools and Colleges. A Guide to Implementation. Harlow: Longman.
- FIDLER, B. (1995a) Staff Appraisal and the Statutory Scheme in England. School Organisation, Vol. 15, No. 2, pp. 95-107.
- FIDLER, B. (1995b) Taking Stock After the First Round. Management in Education, Vol. 9, No. 4, pp. 3-4.
- FLETCHER, C. (1993) Appraisal: An Idea Whose Time Has Gone? Personnel Management, Vol. 25, No. 9, pp. 34-37.
- FREEDMAN, S. (1988) Teacher Burnout and Institutional Stress. in OZGA, J. (ed) Schoolwork. Approaches to the labour Process of Teaching. Milton Keynes: Open University Press.

GANDERTON, P. (1991) Subversion and the Organisation: Some Theoretical Considerations. Educational Management and Administration, Vol. 19, No. 1, pp. 30-36.

GEWIRTZ, S. BALL, S. BOWE, R. (1995) Markets, Choice and Equity in Education. Buckingham: Open University press.

GEWIRTZ, S. (1996) Post-welfarism and the Reconstruction of Teachers Work. Paper presented at British Educational Research Association Conference, Lancaster

GODDARD, I. & EMERSON, C. (1992) Appraisal and Your School. Oxford: Heinemann.

GOFFMAN, E. (1990) The Presentation of Self in Everyday Life. London: Penguin.

GRACE, G. (1987) Teachers and the State in Britain: A Changing Relation. in LAWN, M. & GRACE, G. Teachers; The Culture and Politics of Work. London: The Falmer Press.

GRACE, G. (1995) School Leadership: Beyond Educational Management. London: Falmer Press.

HAMMERSLEY, M. & ATKINSON, P. (1995) Ethnography: Principles in Practice. London: Tavistock.

HANDY, C. (1993) Understanding Organisations. London: Penguin Books.

HARGREAVES, A. (1991) Contrived Collegiality: The Micropolitics of Teacher Collaboration. in BLASE, J (ed) (1991) The Politics of Life in Schools. Power, Conflict, and Cooperation. London: Sage Publications.

HARGREAVES, A. (1994) Changing Teachers, Changing Times. London: Cassell.

HARTLEY, J. (1994) Case Studies in Organisational Research. in CASSELL, C. & SYMON, G. (eds) Qualitative Methods in Organisational Research. London: Sage Publications.

HATTERSLEY, M. (1995) Potential Threat Defused. Management in Education, Vol. 9, No. 4, pp. 11.

HOLMES, T. (1993) Teacher Appraisal in the London Borough of Hillingdon. Pilot Evaluation Report. Hillingdon Education and Social Services.

HOPKINS, D. & WEST, M. (1995) Appraisal in Action: Issues and Examples from Schools in Kent. Learning Resources Journal, Vol. 11, No. 1, pp. 16-21.

HORNBY, P. & SYMON, G. (1994) Tracer Studies. in CASSELL, C. & SYMON, G. (eds) Qualitative Methods in Organizational Research. A Practical Guide. London: Sage Publications.

HORNE, H. & PIERCE, A. (1996) A Practical Guide to Staff Development and Appraisal in Schools. London: Kogan Page.

HOUSE, E. & LAPAN, S. (1989) Teacher Appraisal. in SIMONS, H. & ELLIOTT (eds) Rethinking Appraisal and Assessment. Milton Keynes: Open University Press.

HOYLE, E. (1995) Changing Conceptions of a Profession. in BUSHER, H. AND SARAN, R. (eds) Managing Teachers as Professionals in Schools. London: Kogan Page.

HOYLE, E. (1990) The Teacher as a Professional in the 1990s. NUT Educational Review, Vol. 4, No. 1, pp. 13-16.

HOYLE, E. (1988) Micropolitics of Educational Organisations. in WESTOBY, A. (ed) Culture and Power in Educational Organisations. Milton Keynes: Open University Press.

HOYLE, E. (1980) Professionalisation and Deprofessionalisation in Education. in HOYLE, E. & MEGARRY, J. (eds) World Yearbook of Education 1980. Professional Development of Teachers. London: Kogan Page.

HUGHES, P. & JONES, J. (1994) Managing Teacher Appraisal. British Journal of In-Service Education, Vol. 20, No. 2, pp. 205-218.

HUMPHREYS, K. (1992) 'I Must Be Crackers.' Teacher Self-Appraisal for Professional Development: reflections based on a case study of a group of teachers. School Organisation, Vol. 12, No. 2, pp. 115-125.

HUMPHREYS, K. & THOMPSON, M. (1995) Searching For Markers; Collective Self-Appraisal. School Organisation, Vol. 15, No. 2, pp. 133-144.

INGERSOLL, R. (1996) Teachers' Decision-Making Power and School Conflict. Sociology of Education, Vol. 69, No. 2, pp. 159-176.

- JENCKS, C. (1973) Equality: A Reassessment of the Effect of the Family and Schooling in America. London: Allen Lane.
- JONES, J. (1993) Appraisal and Staff Development in Schools. London: David Fulton Publishers.
- JONES & MATHIAS (1995) Training for Appraisal and Professional Development. London: Cassell.
- KING, N. (1994) The Qualitative Research Interview. in CASSELL, C. & SYMON, G. (eds) Qualitative Methods in Organisational Research. A Practical Guide. London: Sage Publications.
- KING, R. (1983) The Sociology of School Organisation. London: Methuen.
- KYRIACOU, C. (1995) An Evaluation of Teacher Appraisal Within One Local Education Authority. School Organisation, Vol. 15, No. 2, pp. 109-116.
- KYRIACOU, C. (1996) Teacher Appraisal and School Improvement. A paper presented at European Conference on Educational Research. Seville.
- LACEY, C. (1993) Problems of Sociological Fieldwork: A Review of the Methodology of Hightown Grammar. in HAMMERSLEY, M. (ed) Educational Research: Current Issues. London: Paul Chapman Publishing Ltd.
- LARSON, M. S. (1977) The Rise of Professionalism. A Sociological Analysis. London: University of California Press.
- LAWN, M. (1988) Skill in Schoolwork: Work Relations in the Primary School. in OZGA, J. (ed) Schoolwork. Approaches to the Labour Process of Teaching. Milton Keynes: Open University Press.
- LAWN, M. & OZGA, J. (1988) The Educational Worker? A Reassessment of Teachers. in OZGA, J. (ed) Schoolwork. Approaches To The Labour Process of Teaching. Milton Keynes: Open University Press.
- LAWTON, D. (1992) Education and Politics in the 1990s: Conflict or Consensus? London: Falmer Press.

- LAWTON, D. (1994) The Tory Mind on Education 1979-94. London: Falmer Press.
- LEGGATT, T. (1970) Teaching as a Profession. in JACKSON, J. Professions and Professionalisation. London: Cambridge University Press.
- LEMERT, E. M. (1967) Human Deviance, Social Problems, and Social Control. Englewood Cliffs: Prentice-Hall.
- LORTIE, D. (1969) The Balance of Control and Autonomy in Elementary School Teaching. in ETZIONI (ed) Readings on Modern Organisations. Englewood Cliffs (N. J.): Prentice Hall.
- MATHIAS & JONES (1989) Appraisal of Performance: An Aid to Professional Development. Windsor: NFER-Nelson.
- MAYKUT, P. & MOREHOUSE, R. (1994) Beginning Qualitative Research. London: The Falmer Press.
- MILES, M. & HUBERMAN, M. (1994) Qualitative Data Analysis. London: Sage.
- MONTGOMERY, D. (1991) Positive Appraisal: A Critical Review of Ten Years Work. Management in Education, Vol. 5, No. 3. pp. 41-45.
- MOORE, W. E. (1970) The Professions: Roles and Rules. New York: Russell Sage Foundation.
- MORTIMORE, P. & MORTIMORE, J. (1991) Teacher Appraisal: back to the future. School Organisation, Vol. 11, No. 2. pp. 125-143.
- NATANSON, M. (ed) (1973) Alfred Schutz. Collected Papers 1. The Problem of Social Reality. The Hague: Martinus Nijhoff.
- NEAVE, H. (1990) The Deming Dimension. Knoxville: SPC Press.
- NIAS, J. (1993) Primary Teachers Talking; A Reflexive Account of Longitudinal Research. in HAMMERSLEY, M. (ed) (1993) Educational Research: Current Issues. London: Paul Chapman Publishing Ltd.
- NIXON, J. (1995) Appraisal at The Crossroads. Management in Education, Vol. 9, No. 4, pp. 14.



O' DONNELL, M. (1992) A New Introduction to Sociology. Walton-on-Thames: Nelson.

OFSTED (1994) Inspection Under Section Nine of the Education (Schools ) Act 1992. \*\*\*\*\*  
School. London: OFSTED Publications.

OFSTED (1995a) Inspection Under Section Nine of the Education (Schools ) Act 1992. \*\*\*\*\*  
School. London: OFSTED Publications.

OFSTED (1995b) Inspection Under Section Nine of the Education (Schools ) Act 1992. \*\*\*\*\*  
School. London: OFSTED Publications.

OFSTED (1996) The Appraisal of Teachers 1991-1996. London: OFSTED Publications.

OZGA, J. & LAWN, M. (1988) Schoolwork: Interpreting the Labour Process of Teaching.  
British Journal of Sociology of Education, Vol. 9, no. 3, pp. 323-336.

OZGA, J. (1993) Where Are the Teachers in the New Framework for Schools? Education Review, Vol. 7, No. 1, pp. 44-45.

OZGA, J. (1995a) New Age Traveller. Curriculum Studies, Vol. 3, No.1, pp. 190-195

OZGA, J. (1995b) Deskillling a Profession. in BUSHER, H. & SARAN, R. (eds) Managing Teachers as Professionals in Schools. London: Kogan Page.

PARRY, N & PARRY, J. (1974) The Teachers and Professionalism; The Failure of an Occupational Strategy. in FLUDE, M. & AHIER, J. (eds) Educability, Schools and Ideology. London: Croom Helm.

PARSONS, T. (1968) Professions. in Sills, D. (ed) International Encyclopedia of the Social Sciences. Vol. 12, pp. 536-547. New York: Free Press.

POSTER, C. & POSTER, D. (1993) Teacher Appraisal. Training and Implementation. London: Routledge.

RAFFERTY, F. (1996) Shephard's 'expert' solution, TES 8/3/96, pp. 8.

REAY, D. (1996) Micro-politics in the 1990s: Staff Relationships in Secondary Schooling. A paper presented to British Educational Research Conference. Lancaster.

- REED, D. (1995) How Was it For You? Management in Education, Vol. 9, No. 4, pp. 9-10.
- RIBBINS, P. (1988) Teachers as Professionals: Towards a Redefinition. in MORRIS, R. (ed) Central and Local Control of Education After The Education Reform Act 1988. Harlow: Longman.
- ROWAN, D. (1995) The Round of The Year: Management in Education, Vol. 9, No. 4, pp. 7-8.
- SALAMAN, G. (1986) Working. Chichester: Ellis Horwood.
- SCHOFIELD, J.W. (1993) Increasing the Generalisability of Qualitative Research. in HAMMERSLEY, M. (ed) Educational Research: Current Issues. London: Paul Chapman Publishing Ltd.
- SCHOLTES, P. (1995) Performance Without Appraisal. Total Quality Review, May/June.
- SCHON, D. (1983) The Reflective Practitioner. How Professionals Think in Action. New York: Basic Books.
- SERGIOVANNI, T. (1994) Changing Our Theory of Schooling. Management in Education, Vol. 8, No. 1, pp. 9-11.
- SMITH, G. (1991) Countdown to Appraisal. Management in Education, Vol. 5, No. 3, pp. 37-40.
- SMYTH, J. (1996) Evaluation of Teacher Performance: Move Over Hierarchy, Here Comes Collegiality! Journal of Education Policy, Vol. 11, No. 2, pp. 185-196.
- STATUTORY INSTRUMENTS (1991) No 1511. The Education (School Teacher Appraisal) Regulations 1991. London: HMSO.
- SUFFOLK COUNTY COUNCIL EDUCATION DEPARTMENT (1985) Those Having Torches. Teacher Appraisal: A Study. Ipswich, County Hall, St Andrew Street.
- THOMPSON, M. (1991) Finishing the Management Jigsaw. Management in Education, Vol. 5, No. 3, pp. 31-33
- TRETHOWAN, D. (1991) Managing With Appraisal. Achieving Quality Schools Through Performance Management. London: Chapman Publishing.

TROPP, A. (1957) The School Teachers: The Growth of the Teaching Profession in England and Wales. London: Heinemann.

TTA & OFSTED (1996) Review of Headteacher and Teacher Appraisal. London: TTA.

TURNER, G. & CLIFT, P. (1988) Studies in Teacher Appraisal: A Project Funded by the Leverhulme Trust. Lewes: The Falmer Press.

TYLER, W. (1988) The Organisational Structure of the School. in WESTOBY, A. (ed) Culture and Power in Educational Organisations. Milton Keynes: Open University Press.

WALFORD, G. (ed) (1991) Doing Educational Research. London: Routledge.

WALKER, R. (1989) Doing Research. A Handbook For Teachers. London: Routledge.

WARNOCK, M. (1987) Teacher Power, New Society 2nd October. pp. 20-21.

WEICK, K. (1976) Educational Organisations as Loosely Coupled Systems. Administrative Science Quarterly, Vol. 21, pp. 1-19

WILENSKY, H. (1964) The Professionalization of Everyone. The American Journal of Sociology, Vol. LXX, No. 2, pp. 137-158.

WILLIAMS, R. AND MULLEN, T. (1990) The Awareness of and Attitudes Towards Teacher Appraisal of Secondary School Teachers. Educational Management and Administration, Vol. 18, No. 4, pp. 3-9.

WINTER, R. (1989) Problems in Teacher Appraisal: An Action-research Solution. in SIMONS, H. & ELLIOTT, J. (eds) Rethinking Appraisal and Assessment. Milton Keynes: Open University Press.

WOOD, S. (ed) (1982) The Degredation of Work?: Skill, Deskillling and the Labour Process. London: Hutchinson.

WRAGG, E. (1987) Teacher Appraisal. A Practical Guide. Basingstoke: Macmillan.

WRAGG, E. (1994) Under The Microscope. TES 9 September, pp. 3-4.

WRAGG, E. WICKLEY, F. WRÁGG, C. HAYNES, G. (1996) Teacher Appraisal Observed. London: Routledge.

WRATTEN, B. (1995) In the Light of Experience: Teacher Appraisal Six Years On. Forum for Promoting 3-19 Comprehensive Education, Vol. 37, No. 2, pp. 57-59.

## **Appendix 1.**

### **Interview Schedule.**

## Interview schedules

SMT.

Was the introduction of appraisal into the school easy/problematical. Did it fit in with what you were doing or was it a problem?

How appraisal was introduced into the school. Describe the process.

Was there already whole school evaluation taking place before appraisal?

Does it (and how) feed into SDP, INSET and provision for staff development - mechanics of whole school planning?

Does it seem cost effective? i.e. a good way of meeting school development plans, individual needs, a useful exercise?

Have there been any problems in its implementation?

How have the staff responded to appraisal do you think-  
positively,  
feel its imposed and resent it,  
do it because they have to (legal formality and requirement)?

What are your opinions on appraisal? Strengths and weaknesses. Benefits, disadvantages.

What do you see as its purpose and will it achieve it?

How do you see its future? Is it worth doing in terms of return for effort?

Has it affected teaching/the pupils/the staff?

Go onto appraiser question on the following schedule.

Co-ordinators.

Personal details.

How long have you been teaching?

How long have you been at this school?

How long have you been in this post?

What does your job involve?

Do you enjoy your job?

What are the best/worst bits of your job?

How do you see your position developing in the future?  
(Do you have any thoughts on your future career development?)

What are your feelings towards teaching as a worthwhile and rewarding activity?

What do you feel about the job that you do. How well you do it?

From your experience as a co-ordinator and from your personal view

How was appraisal introduced?

How successful has its introduction been?

Have there been any problems?

Do you think appraisal will help you in any way?

Are you an appraisee/appraiser?

Appraiser - do you think you have been of help to the person you appraised?

what were your feelings about the process generally

- initial meeting
- observation
- information gathering
- interview
- appraisal statement
- target setting
- review in particular

Has it been different second time around?

Appraisee - has your relationship changed to your appraiser?

Where are you on the current cycle?

Was it the same appraiser both times?

What are your feelings about the stages?

self assessment  
initial meeting  
observation  
information gathering  
appraisal interview  
appraisal statement  
target setting  
review

Have they varied between cycles?

What did you enjoy about the process?

What did you not enjoy about the process?



What do you feel are the purposes of appraisal?

Do you feel that it has been a worthwhile experience for you/the school/the pupils?

Why? In what way?

Do you have any fears/criticisms/reservations about appraisal?

Has it affected your/other staff development?

Has it affected your other staff relationships, working practices in general?

Has it affected the pupils/teaching?

How do you, and do you think other staff feel about it in terms of;  
accountability to wider society,  
legal obligation and formality,  
management of school,  
management control,  
developmental?

Which of the above do you think is happening?

What reasons do you have for this view?

Have you noticed any changes since its introduction.

What are your opinions on the running of the school generally?

Has appraisal altered this at all?

General staff.  
Personal details.

How long have you been teaching?

How long have you been at this school?

How long have you been in this post?

What does your job involve?

What are the best/worst parts of your job?

Do you enjoy your job?

How do you see your position developing in the future?  
(Do you have any thoughts on your future career development?)

What are your feelings towards teaching as a job/ has it changed much?

Do you feel you do a good job?

Are you an appraisee/appraiser?

Appraiser -  
How many do you appraise? Posts?

Do you think you have been of help to the person you appraised?

Has your relationship changed with the appraisee?

What were your feelings about the process generally

- initial meeting
- observation
- information gathering

- interview
- appraisal statement
- target setting
- review in particular

Has it been different second time around?

Appraisee -

Has your relationship changed to your appraiser?

Where are you on the current cycle?

Was it the same appraiser both times?

What are your feelings about the stages?

self assessment  
initial meeting  
observation  
information gathering  
appraisal interview  
appraisal statement  
target setting  
review

Have they varied between cycles?

What did you enjoy about the process?

What did you not enjoy about the process?

How was appraisal introduced to you i.e. what training were you given?

Has its image/function changed since its introduction?

How successful has its introduction been?

Have there been any problems with the introduction and running of appraisal - personal or general?

What do you feel are the purposes of appraisal? Why was it introduced? (hints - school level and national level.)

Is it achieving these purposes?

Do you feel that it has been a worthwhile experience for you/the school/the pupils?

Why? In what way?

Do you think appraisal will help you in any way? Has it helped?

Do you have any fears/criticisms/reservations about appraisal?

Has it affected your/other staff development?

Has it affected your other staff relationships,/ working practices in general?

Has it affected the pupils/teaching?

Am I correct in thinking you see appraisal as .....

What about.....

- accountability to wider society,
- legal obligation and formality,
- management of school,
- management control,
- developmental?

Have you noticed any changes since its introduction?

Have there been any problems with the introduction and running of appraisal - personal or general?

What do you feel are the purposes of appraisal? Why was it introduced? (hints - school level and national level.)

Is it achieving these purposes?

Do you feel that it has been a worthwhile experience for you/the school/the pupils?

Why? In what way?

Do you think appraisal will help you in any way? Has it helped?

Do you have any fears/criticisms/reservations about appraisal?

Has it affected your/other staff development?

Has it affected your other staff relationships,/ working practices in general?

Has it affected the pupils/teaching?

Am I correct in thinking you see appraisal as .....

What about.....

- accountability to wider society,
- legal obligation and formality,
- management of school,
- management control,
- developmental?

Have you noticed any changes since its introduction?

Has appraisal altered the running of the school at all?

## **Appendix 2.**

**School One Documentation:**

**Staff Handbook.**

**Appraisal Forms.**

**Job Description Forms.**

**Evaluation Questionnaire.**

**Evaluation Results.**

## **CONTENTS**

1. Self Appraisal
- 2/3. The Initial Meeting
4. Classroom Observation
- 5/6. Areas of Focus for Classroom Observation
7. Task Observation
8. Information Gathering
9. Post Observation Debrief
10. The Appraisal Interview
11. Appraisal Statement
12. The Review Meeting
13. Monitoring and Evaluation

## **SELF-APPRAISAL**

Although not compulsory, some type of Self-Appraisal before embarking on the Appraisal procedure could prove to be very worthwhile.

It can focus the mind upon certain issues that you may wish to pursue, also it can prove useful when thinking about future targets.

### **HOWEVER REMEMBER THE FOLLOWING POINTS**

- The Self-Appraisal can be completely confidential to you.
- Do not allow it to become an "examining the navel exercise".
- As with pupils and R-o-A's, be as **POSITIVE** as possible. Do not do yourself down needlessly.
- You may actually discover that you are very good at many things. Majority of humanity are - its others who tell us we are not!!
- \* See Appendix 1 for copies of Self-Appraisal Documents. Use one of these or devise your own.



## **THE INITIAL MEETING**

1. **Aim**

To clarify the purpose of the appraisal and to set the agenda for the whole appraisal cycle.

2. **When will the initial meeting take place?**

At a time mutually agreed by Appraiser and Appraisee. This will be during non-contact time, after school or out of school time.

3. **Duration of initial meeting**

Approx. 1 hour.

4. **Where will the initial meeting take place?**

In a place mutually agreeable to both appraiser and appraisee.

- (a) One of the three Deputies' offices could be used by arrangement.
- (b) The far end of the library could be used after school.
- (c) Any other place considered suitable by both parties.

The location chosen should be private, free from disturbance and non-threatening to either person.

5. **What will the Appraisee need to bring to the initial meeting?**

- (a) **Job Description** To this, the Appraisee should add details of any extra-curricular involvement, recent courses they have been on etc.
- (b) **Self-appraisal** - see guidelines.
- (c) 5 or 6 possible alternative dates and times for the classroom observation.

6. Format of the initial meeting

Set the agenda for the whole appraisal.

- (a) Decide on elements of Appraisee's job description which should be appraised.

This must include classroom observation - and may also include task observation.

See Areas of Focus

1. Classroom observation - Page 5.

2. Task observation - Page 7.

- (b) Arrange date and time of classroom observation and if applicable task observation. Several alternative dates may have to be suggested to fit in with staff supply arrangements.

- (c) Negotiate the focus and rules for the classroom observation/task observation.  
- see Guidelines for classroom observation - Page 4.  
Guidelines for task observation - Page 7.

- (d) Make arrangements for Appraisee to provide appraiser with background information on lesson to be observed - in writing, a few days before the observation perhaps.  
- see Guidelines for classroom observation

- (e) Fix time and place for de-brief following each classroom observation - see Notes on de-brief - Page 9.

- (f) Agree procedures for the gathering of information:

What information is required?

Who will be asked for information?

- see Guidance and Code of Practice on collection of information

- (g) Discuss possible intended outcomes of the appraisal procedure.

## **GUIDELINES FOR CLASSROOM OBSERVATION**

The Appraisee should choose two single lessons for observation and offer alternatives to the Appraiser for agreed selection. Once the lessons have been chosen the Appraiser should submit information on the following.

- (1) Aims - Structure and Context within the Scheme of Work for the Department.

A simple lesson plan and the skills to be learnt by pupils may be helpful.

- (2) Ability of Pupil group and age.

- (3) Methods of teaching (pupil/teacher centred or team teaching)

- (4) Class management to include details of learning support/ancillary help and resources.

The Appraiser should be aware of the learning environment and whether he/she will be expected to participate or observe only.

## **AREAS OF FOCUS FOR CLASSROOM OBSERVATION**

**REMEMBER - BE SELECTIVE!**

**Consider any of the following**

### **1. PLANNING AND PREPARATION**

- a) Place of the lesson in the scheme of work.
- b) Short term objectives/aim of the activities.
- c) Individual/group needs eg. range of activities.
- d) Reasons for chosen methodology.
- e) Suitability/adequacy of resources with reference to (c) and (d).

### **2. CLASSROOM ORGANISATION AND MANAGEMENT**

- a) Use of space - organisation of desks/pupil seating arrangements in accordance with lesson activities.
- b) Flexibility within structure/plan of lesson - diversification when appropriate.
- c) Transition - Is the switch from one activity to another smooth?
- d) Discipline.
- e) Appropriate use of time.
- f) Care for learning environment - is it stimulating?
- g) Effective beginnings/ends of lessons.
- h) Organisation of materials, equipment, teaching aids.

3. **TEACHING SKILLS**

- a) How the lesson builds on previous learning experience.
- b) Is material appropriate and well presented?
- c) Delivery of material/resources.
- d) Assessment of level of involvement/understanding of pupils.
- e) Teacher's mastery of subject matter.
- f) Response to individual pupil requirements.
- g) Management of groupwork.
- h) Flexibility in unforeseen situations.
- i) Effective use of resources.
- j) Management of support staff/team teaching situations.
- k) Clarity of presentation.
- l) Monitory of indirect teaching (pupil-centred learning).
- m) Direct teaching methods.
- n) Use of voice.
- o) Questioning strategies.
- p) Appropriate expectations.
- q) Relationships with pupils.
- r) Motivation of pupils.
- s) **Teacher Performance.**
- t) **Teacher Self-evaluation.**

## **TASK OBSERVATION**

For the great majority of teachers, classroom observation will be the main means of gathering information about their teaching. However for those with other management roles additional data may need to be gathered by such means as task observation. Other examples could be chairing a departmental meeting or leading a tutor group discussion. The same principles as in classroom observation need to be observed with particular reference to confidentiality, and prior agreement as to the style of the observation.

## **INFORMATION GATHERING**

The Appraiser will need the time and the opportunity to gain access to information identified in the initial meeting. The code of practice on information collection **must** be followed at all times.

**PARTICULAR ATTENTION SHOULD BE DRAWN TO NO. 22 ON APPENDIX 1 -  
IN COUNTY BOOKLET.**

### **EXTENSION OF CLASSROOM MANAGEMENT**

- a) Recording of pupils' attendance and work.
- b) Marking/assessment of pupils' work.
- c) Assessment and reporting procedures - departmental/school.
- d) Value of set homework.
- e) Evaluation of lessons by teacher and appropriate action taken in planning future lessons.
- f) Feedback to/Liaison with department.

### **ADDITIONAL MANAGEMENT DATA**

For deputies and incentive post holders other forms of information should be sought if those aspects of their job description that involve the management of people or resources are to be considered.

These could include:-

- a) How meetings are conducted.
- b) Decision making, consultation and communication systems.
- c) Documentation used.
- d) Approaches to problem solving and planning.
- e) Links between the Appraisee's work and whole school activities, e.g. cross-curricular and school management issues.
- f) Leadership, influence and communication styles.
- g) Relationships with external agencies.

### **Techniques of asking questions to gather information**

The Appraiser will need to consider carefully the questions to be asked.

It may be possible to organise twilight staff training for this.

Arrangements will be announced at a later date.

The emphasis must be placed on **confidentiality** in **all** aspects of information gathering.

### **POST OBSERVATION DEBRIEF**

- 1) Time and place pre-set at initial interview.
- 2) It must only be a debrief of the lesson observation.
- 3) Keep to the original focus points.
- 4) Confidentiality of written and spoken word essential.



### THE APPRAISAL INTERVIEW

This is central to the appraisal of any individual. It is important to prepare for it thoroughly and to give careful thought to the location and timing.

The interview should be held at a time and in a place preset by mutual agreement, and should be conducted without interruption.

#### AIMS

1. To reflect on individual performance and motivation.
2. To discuss achievements and identify future targets and possible strategies for attaining them.

#### GUIDELINES

The Appraiser should bring to the interview:

1. Classroom/task observation debrief notes.
2. Information that has been gathered.
3. Job description of the Appraisee.
4. Interview pro-forma - Appendix 2.

The Appraisee should bring self-appraisal notes and interview pro-forma.

The following aspects need to be discussed.

1. Classroom/task observation.
  2. Information gathered.
  3. Further consideration of job description where appropriate.
  4. Review of teacher's work.
  5. Discussion of professional development needs.
  6. Discussion of career developments as appropriate.
  7. Discussion of the Appraisee's role in, and contribution to, the policies and management of the school and any constraints which the circumstances of the school place on the Appraisee.
- Identification of targets for future action and development.
  - Clarification of the points to be included in the appraisal statement.

In conclusion, the discussion should review targets and overall professional and career development in a balanced, analytical and objective way.

- **THESE ASPECTS ARE LISTED ON A SEPARATE PRO-FORMA FOR THE INTERVIEW, ONE FOR THE APPRAISER AND ONE FOR THE APPRAISEE**

### **THE APPRAISAL STATEMENT**

1. The appraisal statement should be a hand-written conclusion recording the main parts of the professional discussion between Appraiser and Appraisee.
2. The statement will be written on a self-duplicating printed proforma produced by the school.

"Appraisees are entitled to record their own comments on the appraisal; any such comments should form part of the appraisal statement and should be recorded within twenty working days".  
(Circular Para 52)

### **ANY WORKING NOTES SHOULD BE DESTROYED**

3. Appraisal statements are personal documents of a particularly sensitive kind. They will be stored in the Head's Office and he will be the only keyholder.
4.
  - There will be 2 copies of the agreed statement - Appendix 3. 1 to the Head and 1 to the Appraisee.
  - There will be 3 copies of the agreed targets - Appendix 4. 1 to be stored with the appraisal statement, 1 to be stored separately by the Head and 1 to be held by the Appraisee.
  - There will also be 3 copies of the professional development activities - Appendix 5. 1 to be stored by the Head, 1 to the Appraisee and 1 to the I.N.S.E.T. Co-ordinator.
  - The Appraisee is responsible for handing the above documents to the appropriate people.
5. All appraisal documents will be kept on file for 2 appraisal cycles (i.e. 4 years).

### **THE REVIEW MEETING**

The review should take place twelve months after the appraisal interview, preferably in the same half-term.

The purposes of the review meeting are:

1. To review the progress of the Appraisee and/or the school in meeting targets set at the appraisal interview.
2. To consider whether those targets are still appropriate.
3. To consider, where appropriate, the usefulness to-date and potential future use of any training undertaken since the appraisal.
4. To provide an opportunity for the Appraisee to raise any particular issues relating to their work.
5. To consider the career development needs of the Appraisee.

**A RECORD SHOULD BE MADE OF THE DATE OF THE MEETING, ANY MODIFICATION TO TARGETS AND THE REASONS FOR THE CHANGES.**

**SEE APPENDIX 6**

### **MONITORING AND EVALUATION**

1. The Monitor and Evaluation Group will consist of members of the current Appraisal Working Party who will meet on a half termly basis.

Dates of these meetings will be published on the school calendar.

2. Serious difficulties arising from the Appraisal process will be looked at immediately by the group.
3. The Appraisal Scheme will be evaluated by the Monitoring Group in the first instance, in June 1993. A written report will be issued to the staff and any necessary modifications will then be made.



## APPENDIX 1 (P.1.)

### CCDU TEACHER APPRAISAL PROJECT

## QUESTIONS FOR AN APPRAISAL REVIEW

These questions, based on the reviewing framework, can be used by the Appraiser and Appraisee as a preparation base for an interview. In the 'real' situation the questions could be tailored for each individual teacher or school. It is envisaged that the Appraiser would think through the questions as a self appraisal, the Appraiser would then explore the questions further with the Appraiser in the review session. The questions are so structured as to be able to be used by two people working on a Training course. The purpose of the exercise is structured practise in the review technique.

### PAST EXPERIENCE

What prompted you to work with the age group or subject you teach at present?

What experiences have you found most fulfilling in this work?

Have you always taught this subject or age group?

Who has influenced you most in your work?

Tell me about the highlights of your work.

What have you got out of your work over the past term or year?

What haven't you got from it which you expected?

What do you feel are your major successes?

What have you done to develop areas you feel you are weak in?

Have you sought advice of any kind?

Did the advice help? Where you able to act on it?

How did you plan your work this year?

What opportunities do you feel you have had for INSET?

What changes have you helped initiate this year?

In what ways do you feel you are currently developing your potential?

Do you feel your potential and worth are recognised, in school and out of school?

Have you set yourself objectives this year?

How successful do you feel you have been in achieving them?

How far do you feel you are part of the whole school's development?

How would you describe your relationships with your pupils?

Do you know what you want to achieve next year in any particular area?

### **PRESENT SITUATION AND FEELINGS**

What do you like about the job at present?

Do you have a specific role in the school?

How do you feel about this role?

Do you have a job description?

Do you feel satisfied that it covers all your duties?

What frustrations do you feel in your present post?

Do you feel you are part of a Team?

How do you feel the team works together?

How do you feel about the time you have to do your job?

Do you feel you have all the resources you need to work effectively and efficiently?

What do you feel are the conflicts within your role?

How do you feel others in school perceive you?

What changes do you feel are needed in school?

How do you feel you can be involved in these changes?

Do you feel your teaching/management style could be shared with others?

Are you happy with your style?

How do you feel about record keeping in school?

How do you evaluate your performance?

What is most satisfying to you about your job at present?

What support do you feel you receive?

What support would you like to receive and who from?

Do you feel the school system restricts your development?

**FUTURE POTENTIAL AND NEED**

What do you want for yourself from your job and the school?

What contribution do you feel you would like to make to the school?

What would you like the school to offer you next year?

What plans have you made for the next year?

How do you hope to achieve your plans?

How will you know you have achieved them?

What are your immediate training needs for the future?

Is there anything specifically you wish to do next year?

What INSET do you wish to see next year?

Do you feel you would like to take on any extra responsibilities?

How can the school help you achieve your personal goals?

What can I do to help you?

What can others do to help you?

Where do you think you are going in your professional life?

What can you do to help yourself achieve your goals?

Have you thought about where you do or do not want to be in five years time?

What specific actions do you wish to take:   now  
                                                          next term  
                                                          next year

## SELF-APPRAISAL REVIEW QUESTIONS

What general comment would you make about your work so far this year?

What aspects of your work do you feel pleased or satisfied with?

Which aspects of your work have not gone as well as you would have hoped?

What external factors have helped or hindered your work?



## APPENDIX 1 (P.5)

In what ways do you hope to develop your experience and strengthen your expertise, both in the coming year and in the long-term?

What support, if any, would you appreciate from others?

Any other comments?

CONFIDENTIAL

TEACHER APPRAISAL

SELF-APPRAISAL

Name:

INTRODUCTION

The importance of self-appraisal was revealed in the experience of teachers involved in the appraisal pilot authorities. It is a valuable preparation for the whole appraisal process and its purpose is to help the appraisee gain the maximum benefit from the appraisal programme.

The following questions are prompts to help you reflect on your current work and achievements. They are also aimed at helping you to identify areas which you wish to develop. You may also wish to refer to the following documents:—

- Job Description
- Schoolteachers Pay and Conditions Document (Current year HMSO)
- A copy of the agreed actions and statement from your last appraisal interview (where appropriate).

1. Write down what you think are the main tasks and responsibilities of your current post.

2. During the past academic year, what parts of your job have given you greatest satisfaction?

How could these be used to best advantage?

3. What parts of your job have given you least satisfaction?

Is there something that could be done to overcome this?

4. Where there any problems or difficulties which prevented you from achieving something you intended or hoped to do?

<p>Are they still a cause for concern?</p> <p>If so, could they be eliminated?</p>
<p>5. To help improve your performance in your job, what changes in the school organisation would be beneficial?</p>
<p>6. What additional things might be done by your head teacher?</p> <p>Your head of department/pastoral head?</p>

<p>You?</p> <p>Anyone else?</p>
<p>7. What do you think should be your main action points for the next two years?</p>
<p>8. How would you like to see your career developing?</p>

## APPENDIX 2

### PRO-FORMA FOR APPRAISAL INTERVIEW

**BOTH APPRAISER/APPRAISEE SHOULD BRING A COPY  
TO THE INTERVIEW FOR DISCUSSION.**

NOTE. Not all points will necessarily be applicable.

Aspects to be discussed

**APPENDIX 3**

**APPRAISAL STATEMENT - AGREED STATEMENT**

**THIS STATEMENT IS CONFIDENTIAL TO THE APPRAISEE,  
APPRAISER AND HEADTEACHER**

Appraisee ..... Appraiser .....

Date of Interview .....

---

**We agree that this is a fair record of the main points of the interview.**

**Appraisee's signature ..... Appraiser's signature .....**

**Date of signatures: .....**

**APPENDIX 4**

**APPRAISAL STATEMENT - AGREED TARGETS**

The appraisee will be responsible for meeting the targets listed and the appraiser will be responsible for support as appropriate, in achieving these targets.

We will meet to check progress in twelve months preferably in the same half term.

Appraisee's signature ..... Appraiser's signature .....

Date: .....

**APPENDIX 5**

**APPRAISAL STATEMENT - PROFESSIONAL DEVELOPMENT  
ACTIVITIES**

A copy of this will be given to the INSET Co-ordinator for consideration.

Appraisee's signature ..... Appraiser's signature .....

Date: .....

**APPENDIX 6**

**REVIEW STATEMENT**

**THIS REVIEW STATEMENT IS CONFIDENTIAL TO THE  
APPRAISEE, APPRAISER AND HEAD**

Appraisee ..... Appraiser .....

Date of Review .....

---

Review discussion

Agreed action

We agree that this is a fair record of the main points raised in the review discussion.

Appraisee's signature ..... Appraiser's signature .....

Date of signatures: .....



Job Description for:

The following is the job description for \_\_\_\_\_  
employed at \_\_\_\_\_ School from \_\_\_\_\_

This description will be reviewed annually between the holder of the post and the Headteacher. This will take place each Summer Term.

a) The post is subject to the following terms and conditions:

- (i) The Terms and Conditions for Teachers as set out in the Teachers pay and conditions Act 1987 and any orders made under it.
- (ii) The other terms and conditons set out in the various national collective agreements in force from time to time.
- (iii) The Local Authority Rules and Conditions including any local agreement entered into with recognized trade unions.
- (iv) The Schools Instruments and Articles of Government as appropriate.
- (v) The other conditons set out in this job description and any others set out in the letter of appointment.

The teaching post at Abraham Darby School will be mainly in the area(s)

\_\_\_\_\_

The generic role descriptions are attached as Appendices A/B/C whichever apply to the teacher concerned.

Personal conditions will include:

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

- e) The teacher concerned will be accountable to HM, his Deputies and any other person placed in authority over an area of employment of the teacher.

He/she will be accountable for the teaching of pupils in his or her area and to take pastoral responsibility for the pupils placed in his/her charge.

- f) There will be a Scale \_\_\_\_\_ incentive allowance attached to the Salary for this teacher.

- g) Directed time (1265 hours) will be negotiated annually with the Headteacher, in the Summer Term for the next academic year.

- h) As stated above the job description will be reviewed annually alongside (g) above.

Signed: \_\_\_\_\_

Teacher

\_\_\_\_\_

Headteacher

**RESPONSIBILITIES OF HEADS OF DEPARTMENT**

A Head of Department holds a responsible position within the life of the school. In addition to the following specific duties it is hoped that he will seek to keep abreast of developments in education, both in his own subject and generally, so that he may give the necessary guidance and inspiration to the staff within his department.

1. To prepare and keep under constant revision syllabuses of work in his own subject/s. A copy of the syllabus is to be handed to the Headmaster, and spare copies should be available for visitors.
2. The ordering, issuing and care of textbooks and equipment, including the collection of these when pupils leave. Deficiencies in these should be reported immediately to the Headmaster in writing.
3. The holding of regular departmental meetings, at least one in each half term, to discuss methods, changes in syllabus, allocation of special duties within the department, etc. The conclusions of these meetings to be reported to the Headmaster in writing. Also it is hoped that departmental meetings will act as a communication aid in the passing of information to the Headmaster from members of the department, and the return of information from Heads of Department meetings to the departments concerned.
4. To make suggestions for the allocation of teaching staff within the department to particular forms and levels of examination work.
5. To guide and help young teachers within the department, particularly over the questions of teaching technique and class control, consulting with the Deputy Head responsible for probationers and with the Headmaster when further help is required.
6. In consultation with visiting tutors, to supervise and help students on teaching practices.
7. To ensure that within the department homework of appropriate difficulty and sufficient amount is regularly set in accordance with instructions laid down by the Headmaster.
8. To inform members of his department of decisions taken at Heads of Department meetings which the Headmaster instructs to be passed on to the staff. In this respect the Head of department is an important channel of the communications system, passing decisions to staff and relaying opinions to the Headmaster. For this purpose, all assistant staff will be attached to a department.

9. To meet all candidates called for interview to a post in his department prior to appointment. This meeting to be used as an occasion for showing candidates round the school and telling them something of the work in the department. The Head of Department will have an important part to play and say in the appointment of staff, and the Headmaster assures all Heads of Department that their opinions will be respected.
10. To attend all Heads of Department meetings regularly and to keep themselves informed of changes in school policy. All Heads of Department have the authority to delegate responsibility within their department, but the Head of Department is responsible for the oversight of this delegated authority, and he alone is responsible to the Headmaster for the work in his department.

## RESPONSIBILITIES OF PERSONAL TUTORS

### GENERAL

1. Personal tutors shall be responsible in the first instance to the Head of House to whose house they belong, for the well-being and discipline of their group.
2. It is the responsibility of each tutor to acquaint himself with the school policy, particularly as this affects the part of the school to which he is attached. Points needing clarification should be referred to the Head of House.
3. It is the responsibility of each tutor to keep the Head of House fully informed of developments within his group.
4. Tutors will attend meetings of all tutors of the house to which they belong.
5. It is the duty of tutors to encourage pupils to participate in out-of-school activities and school functions.

### TUTOR GROUP ADMINISTRATION

1. Tutors must attend registration punctually. Staff slackness here is very obvious to pupils.
2. Registers must be fully and accurately completed and sent promptly to the appropriate house office.
3. Tutors are responsible for the furniture and supplies in their form room. Breakages and losses are to be reported to the Deputy Head responsible for Buildings and Furnishing, promptly, and in writing.
4. Tutors are responsible for the preparation, completion and distribution of school reports.
5. Tutors are responsible for issuing and explaining the timetable to their group. In addition, they will relay to their group any special notices which affect them, e.g. room changes, special places for House meetings, alterations to timetable etc.

### DISCIPLINE

1. As far as possible tutors should accompany their forms to assembly, ensuring reasonable order and quiet along corridors.
2. Tutors are responsible for the general appearance and tidiness of their rooms.
3. Tutors are responsible for the wearing of correct school uniform by their groups. Personal appearance inspections are important and should be regular.

4. Matters of discipline concerning a pupil are the responsibility of the tutor. Difficult cases and persistent offenders should be referred to the Head of House.
5. Tutors will complete weekly attendance figures and should refer suspected truancy to the Head of House.
6. When fire alarm rings tutor is responsible for mustering group at assembly point.

#### PARENTS AND RECORDS

1. As far as possible a tutor should make a point of getting to know the parents of pupils in his/her group. Results of interviews with parents should be kept and recorded in accordance with instructions issued by Head of House.
2. Tutors will record all relevant information concerning pupils in their group in accordance with instructions issued by Head of House.

**NOTE** The importance of these records cannot be overstressed. They form the only permanent and constant way in which a picture of an individual child can be built up and may be used as a basis for testimonials and references.

The above outlines, point by point, most of the duties a personal tutor will encounter. The work of the personal tutor is vital in a school of this size. He/she should be the 'king-pin' in the entire structure. The whole system of knowing and understanding the needs of the individual child, of guaranteeing full communication within the school, centres around the pastoral tutor. Stress is laid on contact with the home and cannot be too heavily underlined, a knowledge of the immediate environment, home and neighbourhood must lend much information in discovering the problems and attitudes of our charges. It is also important that there is close liaison with the subject teachers and Heads of House in what is basically a watching brief of the moral, social, physical and intellectual progress of pupils within the group.

## RESPONSIBILITIES OF HEADS OF HOUSE

### AIMS

1. Channel of Communication.
2. Managements of tutors and tutor time.
3. Encourage good behaviour and self discipline.
4. Encourage sense of belonging and well being.
5. Point of contact for parents and outside agencies.
6. Uphold standards and ethos of school.

### DUTIES

1. Child Welfare Parental Interviews, attendance, dress, health education, punctuality, guidance on options and vocation, liason with learning support, annual reviews. 13 + assessments.
2. Communication & Ethos through assemblies, fundraising, charities, outside agencies, major functions, parents.
3. Management of tutors tutor meetings, tutor periods, record keeping, communication assessment period, reports, probationary teachers.
4. Development of Self Discipline Conduct, rewards, sanctions, focus opportunities for pupil responsibilities.
5. Outside Agencies Social Services, E.W.O., Ed. Psychologist, Court Reports, P.T.S.A., Primary School Links, Police.

## PLEASE TICK APPROPRIATE COLUMN

	VERY GOOD	GOOD	POOR	COMMENTS
1. INITIAL MEETING:		✓		
2. CLASSROOM OBSERVATION:		✓		
3. AREAS OF FOCUS FOR CLASSROOM OBSERVATION:		✓		
4. TASK OBSERVATION:		✓		
5. INFORMATION GATHERING:		✓		
6. POST OBSERVATION DEBRIEF:		✓		1 hr longer than needed
7. APPRAISAL INTERVIEW:		✓		
8. APPRAISAL STATEMENT:		✓		

## 9. GENERAL COMMENTS:

Did not find the process of enough value to justify time spent



PLEASE TICK APPROPRIATE COLUMN

	VERY GOOD	GOOD	POOR	COMMENTS
1. INITIAL MEETING:		✓		
2. CLASSROOM OBSERVATION:		✓		
3. AREAS OF FOCUS FOR CLASSROOM OBSERVATION:		✓		
4. TASK OBSERVATION:		✓		
5. INFORMATION GATHERING:		✓		
6. POST OBSERVATION DEBRIEF:		✓		
7. APPRAISAL INTERVIEW:		✓		
8. APPRAISAL STATEMENT:		✓		
9. GENERAL COMMENTS:				

hyn - 11 - nus - 02 - 20 - far  
S.H.

## **APPRAISAL EVALUATION**

### **Findings of the Appraisal Working Party**

#### **Initial Meeting**

The responses from the questionnaire showed that the majority of staff considered the Initial Meeting to be either good or very good. From the comments made, it was clear that the appraiser and appraisee should be well prepared for this meeting as this will minimize wastage of time. The meeting should be conducted as a negotiation between appraiser and appraisee.

#### **Classroom Observation**

Again the comments were encouraging. We do recognise the difficulties involved in two ½ hour observations but this is in fact a legal requirement.

#### **Areas of Focus**

Staff comments were favourable.

#### **Task Observation**

The responses were positive but it was noted that in one case, an appraiser found task observation difficult.

#### **Information Gathering**

This seems to be a difficult area for both appraiser and appraisee. One hint for the future might be to discuss Information Gathering at the Initial Meeting.

It is an important focus and should be carried out as soon as possible.

#### **Post Observation De-Brief**

It is acknowledged that very little time is needed for this but as circumstances vary, up to one hour is allowed for the de-brief. It is important that the de-brief is carried out as soon as possible after the observation.

#### **Appraisal Interview**

The majority of staff regarded this as very successful.

#### **Appraisal Statement**

The response to this was also positive. It is to the mutual advantage of the appraiser and appraisee that the Appraisal Statement should be written and a copy handed to the Head as soon as possible.

#### **General Comments**

- 1) Though some did not find it positive, the majority of staff regarded the whole process as a rewarding experience.
- 2) Time management is obviously important for the system to be effective. It is essential that deadlines are met by all parties.
- 3) The evaluation highlights concern that INSET needs must be considered to make Appraisal worthwhile.

## **Appendix 3.**

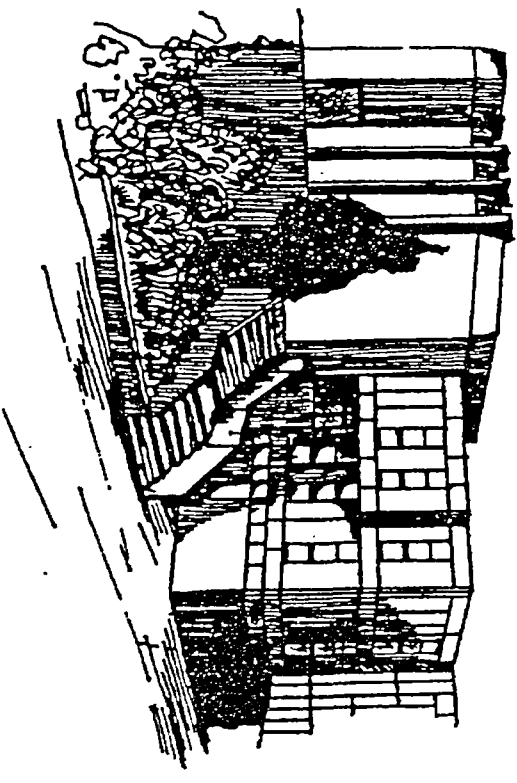
**School Two Documentation:**

**The Future Direction of School Two.**

**School Teacher Appraisal at School Two.**

**Staff Appraisal 1992-1994.**

THE FUTURE DIRECTION OF  
SCHOOL



SCHOOL

# THE FUTURE DIRECTION OF SCHOOL A STRATEGY FOR A CHANGING ENVIRONMENT

## 1. Introduction

1.1 Past discussions with both Staff and Governors have focussed upon the future direction of Madeley Court School. These discussions have been prompted by changes, local and national, in the educational scene. Schools now have to be viable and efficient let alone effective in teaching and learning.

## 2. Future Direction

2.1 This paper outlines the Key issues which need to be addressed in finalising a strategy for the School.

### (i) Curriculum Matters: deciding if the School

should specialise e.g. Technology, School-Industry liaison, Arts, having regard to consequent implications of staffing, finance, etc.

(ii) Market Research: continuing to survey the 'market' e.g. Keele University and New Intake Surveys, 'Village Appraisal', etc., in order to decide responses.

(iii) Communications and Marketing: defining the School's 'unique selling points' and identity and communicating them effectively e.g. prospectus, media, events, 'value-addedness'.

(iv) Responding to the Community: providing breakfasts, transport, access to facilities, etc.

(v) Funding: establishing the availability of finance for initiatives - specialist e.g. EEC grants, TEC funding; general e.g. G.M.S./'opting out' - and the role of commercial sponsorship vis-a-vis the School.

The successful implementation of any strategy will require the full participation of individuals and groups from all interested parties - Students, Parents, Staff and Governors. This will entail new attitudes and approaches. So -

(vi) Managing Change: developing management structures which seek to involve all 'stakeholders', appropriately and efficiently.

## 3. Next Stages

3.1 The following timetable of consultation is proposed:-

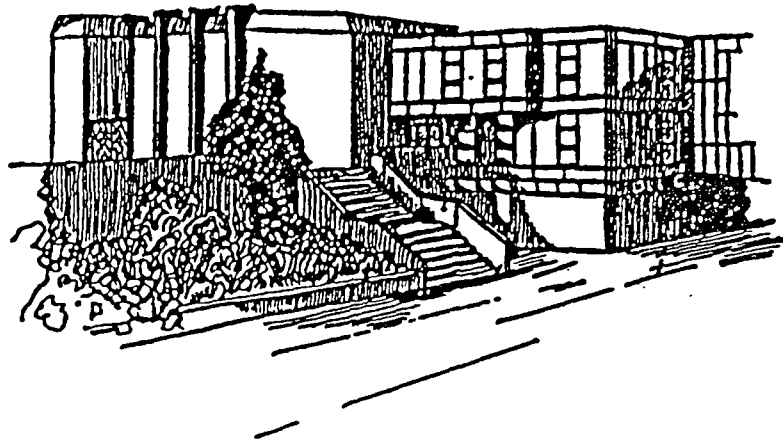
(i) Discussions with Governors, 8.7.93 (7.30 p.m.).

(ii) Discussions with Staff, 12.7.93 (3.45 p.m.).  
After these two stages some individuals and groups may wish to further investigate various options and issues.

(iii) Open Meeting of P.S.A., Staff, and Governors, 9.9.93 (7.30 p.m.).

(iv) Presentation of an Outline Strategy at the Annual

# SCHOOL TEACHER APPRAISAL



SCHOOL

1.

### Introduction

- \* came into force on 14th August 1991.
- \* duty of L.E.A. to ensure regular appraisal.
- \* applies to all full-time Teachers or those on 40% of full-time timetable, except probationary teachers.

2.

### Aims of Appraisal

- \* improve quality of education for students
- \* professional development; career planning; management of schools; overcoming difficulties; informing references; - foregoing achieved through counselling, guidance and inservice training
- \* appraisal procedures should not form part of any disciplinary actions or dismissal procedures but appraisal records may be taken into account regarding promotion, dismissal, discipline or discretion in relation to pay
- \* generally appraisal should be seen within framework of school development e.g. targets set help individuals and schools.

3.

### Appraisal Cycle

- \* continuous period for 2 years, every 2 years
- \* must begin on or before 1st September 1992 for at least half of staff and must be complete for all by 31st August 1996. Half of staff had first year of appraisal by 31.8.93; all first year by 31.8.95.

4.

### Appraisal Procedures

Appraisal undertaken on basis of a job description.

- \* For: Teachers - an appraiser appointed by Head if not the Head.

Appraisers should generally have management responsibility for the Teacher or Deputy and not be responsible for more than 4 appraisees.

Deputies - as above or LEA may determine on 2 appraisers, one usually the Head.

For Teachers) - observation of teaching at least  
) twice during first year of cycle -  
) 1 hour or more; should have a  
Within half ) briefing and follow-up discussion.  
a term )

- probably, gathering of information, written and oral, from other persons, relevant to Teacher's performance, including non-teaching duties.
- appraisal interview before end of first year, to review job description, contribution to School, and Teacher's work; identify achievements, aspects for further development, and training and development needs; and set targets for rest of appraisal cycle in a separate annex.
- preparation, with Teacher consultation, of appraisal statement recording main interview points and conclusions and targets. Teacher can add comments to this statement.
- copy of appraisal statement to Teacher.
- right of complaint by Teacher within 20 days, then appointment of Review Officer, from School or not, who, following representations, makes decision for statement to stand, change, or be expunged and new appraisal begun.
- review of appraisal statement, progress towards targets, career needs, and setting of revised targets at least once before end of second year - involves appraiser and Teacher.
- following review, a note of points made added to appraisal statement.
- appraisal could also include an initial meeting and self-appraisal.

- \*For Heads - appraisers and Head meet to plan and prepare for appraisal.
  - collection of information over 1 term.
  - during first year of cycle at least one appraiser twice observes Head either teach or perform other duties.
  - as for Teachers then except that 2 Review Officers will be appointed by LEA if necessary.

5. Appraisal Records

\*Those with access to appraisal statements should treat them as confidential. Consent of appraisee needed for most others to have access.

\*For Teachers - copy of appraisal statement to Head and, on request, to LEA officers and advisers; also to Review Officer if necessary.

- on request, copy of annex of targets to Chair of Governors.

\*For Heads - copy of appraisal statement to Chair of Governors and LEA; also to Review Officers.

\*appraisal statements kept by Head until at least 3 months after next statement finalised.

\*particulars of targets relating to training and development should be given to those responsible for the training and development of teachers in the School and to LEA officers and advisers.

\*Head summarises targets for action and progress in *achieving in reports to Governors*, avoiding naming individuals.

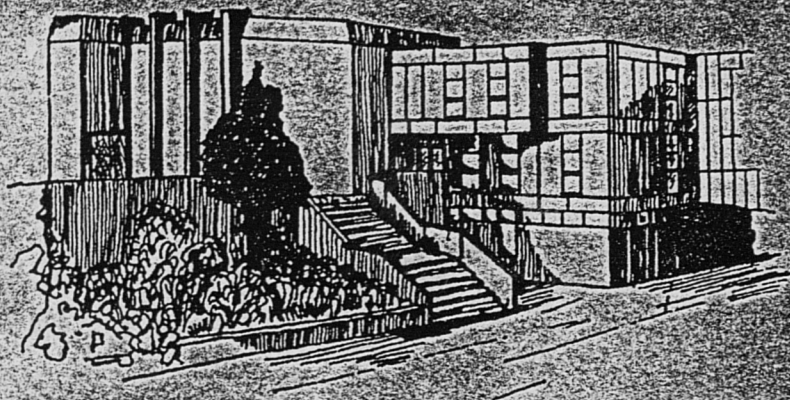
6. Monitoring and Evaluation

\*School and LEA to establish arrangements for monitoring and periodic evaluation of appraisal arrangements.



# **STAFF APPRAISAL**

**1992-1994**



**SCHOOL**

## STAFF APPRAISAL GROUP

**Thanks are due to the following members of staff, for their contribution to the development of the Staff Appraisal System and for the time they gave to the necessary meetings:~**

**THIS DOCUMENT SHOULD BE READ IN CONJUNCTION WITH LEA's BOOKLET, 'TEACHER APPRAISAL SCHEMES'.**

## STAFF APPRAISAL 1992-1994

### **1. Introduction**

#### **1.1. Appraisal has been defined as –**

*"a continuous and systematic process intended to help individual teachers with their professional development and career planning, and to help ensure that the in-service training and deployment of teachers matches the complementary needs of individual teachers and schools"*

*(ACAS agreement 1986).*

Obviously, then, appraisal has a staff development context and is intended to meet the needs of both teachers in particular and Schools in general, of both professional development and school development.

#### **1.2. The following aims of appraisal give more detail to the intentions, for appraisal aims to:–**

- Improve the quality of education for pupils.
- Assist teachers in professional development and career planning.
- Assist those responsible for managing teachers.
- Improve the management of schools.
- Recognise the achievements of teachers and help them to identify ways of improving their skills and performance.
- Identify potential of teachers for career development, with help, where possible, through appropriate INSET.
- Help teachers having difficulties with their performance, through appropriate guidance, counselling and training.
- Help teachers, governors and LEAs to determine whether a change of duties would help professional development and career prospects.
- Inform those responsible for providing references for teachers in relation to appointments.

#### **1.3. The L.E.A.'s document 'Shropshire LEA : Teacher Appraisal Scheme' not only outlines the procedures necessary for appraisal but also stresses the importance of a climate of mutual trust and respect, which should inform the whole process. Appraisal needs a clear agreement as to its purposes, a firm determination to make it work, and a strong emphasis on its positive contribution to advancing the work of teachers and schools.**

#### **1.4.**

This booklet contains the documents that may be used in Staff Appraisal. As with the whole system, processes, and procedures, the documents will be evaluated before the end of this biennial cycle.

## STAFF APPRAISAL

Teacher: \_\_\_\_\_

### CHOICE OF APPRAISER

Please complete the following placing in order of preference the names of 3 members of staff who you would recommend to be your Appraiser. It is, however, usual for the Appraiser to be the Appraisee's 'line' manager e.g. Head of Department for Subject Teacher, Deputy Head or Head for Head of Department/Head of Year, etc., or another senior member of staff designated by the Head. The final decision will be the Headteacher's.

1.

2.

3.

## 2. INITIAL MEETING

2.1. Once the decision as to who should be the Appraiser has been made, both Appraiser and Appraisee should meet to discuss the –

(i) purposes of appraisal and the elements of the appraisal cycle;

(ii) main foci (2/3 areas) of the teacher's role description for discussion in the appraisal interview, one area to be teaching;

(iii) self-appraisal document as a basis for the appraisal interview;

(iv) foci of classroom observation and/or task observation, and the relevant dates;

(v) collection of additional information, sources and methods.

(vi) content and dates of the appraisal interview and later stages.

PLEASE RETURN TO ALUN PHILLIPS BY \_\_\_\_\_

### 3. CLASSROOM OBSERVATION AND TASK OBSERVATION

#### Introduction

- 3.1. Classroom observation forms an important part of the appraisal process and staff should be observed teaching for a total of at least an hour, on two or more occasions. The focus, general or specific, for classroom observations should be agreed by the Appraiser and Appraisee and the following list is offered to help that discussion, leading to agreement. The Appraiser should be fully briefed by the Appraisee before observation begins and discussion of the lesson(s) should follow within two working days of the observation.

#### 3.2. Classroom Observation

##### Planning and preparation

- objectives of the lesson.
- adequacy of lesson notes.
- suitability of lesson content to age and ability of the pupils.
- structure of the lesson, e.g. phases, pace, activities.
- teacher's knowledge of the subject.
- setting of homework.

##### Classroom organisation

- arrangement and distribution of materials.
- use of space, equipment and teaching aids.
- organisation and planning for group and individual activities.
- marking and display of the pupils' work.
- use of Support staff.

##### Teaching techniques

- balance of teaching and learning activities.
- use of instructions, descriptions and explanations.
- questioning techniques, e.g. low-order/high-order questions, distribution.
- *communication*, e.g. use of voice, appropriateness of vocabulary.
- *range, nature and purposefulness* of the tasks asked of the pupils.
- monitoring of individuals, groups, etc.
- acceptance and use of pupils' ideas and answers.

##### Class control

- atmosphere of classroom, workshop, etc. – e.g. responsiveness and cooperation of the pupils, use of courtesies.
- use of procedures, e.g. entering/leaving the classroom, distribution of materials.
- use of praise, encouragement, and positive reinforcement.
- anticipation and avoidance of misbehaviour.
- techniques for dealing with misbehaviour.
- presentation of self, e.g. mood, humour, confidence.
- response to differences in personality and emotional make-up.
- assessment and reporting procedures.
- involvement of parents.
- evaluation of lessons, etc.

### 3.3. **TASK OBSERVATION**

The selection of areas of focus in these facets will be determined by the individual's role description and discussion with the Appraisee. The suggestions appended are intended to give some idea of those areas which could be chosen.

Administration systems and the monitoring of them.  
Organisational structures and their relevance.  
Planning and operation of teams, groups, departments.  
Organisation and participation in meetings.  
Liaison with outside agencies and linked schools.  
Professional development of other staff.  
Co-ordination and development of whole-school initiatives.

#### CLASSROOM OBSERVATION : LESSON OUTLINE

*Please complete this proforma and hand a copy of it to the Appraiser before the lesson takes place.*

Appraisee: \_\_\_\_\_ Appraiser: \_\_\_\_\_

Date and periods: \_\_\_\_\_ Teaching group: \_\_\_\_\_

Please give a brief description of the lesson to be observed e.g. subject, topic, lesson objectives, pupil tasks, etc.

#### 4. STAFF APPRAISAL : SELF-APPRAISAL

A4

##### CONFIDENTIAL

NAME: \_\_\_\_\_

##### 1. Introduction

1.1. The following questions are intended to help you reflect on your current work, achievements, and needs. They are also aimed at helping you to identify areas which you wish to develop. Your responses, which can be brief and in note-form, will be discussed later with your Appraiser. Please ensure that he or she has a copy two days before you meet.

##### 1.2. In completing the questions you may wish to refer to:-

- (i) your Role Description(s)
- (ii) the Staff Handbook
- (iii) the current year's Schoolteachers' Pay and Conditions document.
- (iv) a copy of agreed actions and statements from your last appraisal.

##### 2. ROLE DESCRIPTION(S)

2.1. Do you wish to comment about your present Role Description(s)?

**2.2. Please comment on the 2/3 agreed areas of focus –**

**A4**

**(i) Teaching:**

**(ii)**

**(iii)**

**2.3. During the past academic year, what parts of your job have given you greatest satisfaction?**

**2.4. What parts of your job have given you least satisfaction?**

**What could be done by the School, Department, Year Team, etc. to help?**

- 2.5. What changes in the School organisation would be beneficial to you in carrying out your role?

5. TARGETS FOR FUTURE ACTION AND DEVELOPMENT A4
- 5.1. What do you think should be your main targets for the next two years?

3. PROFESSIONAL DEVELOPMENT

- 3.1. What should be your future targets in terms of professional development and what could be done by yourself, the School and L.E.A. to achieve them?

6. ADDITIONAL INFORMATION

You may wish to note here any curriculum, pastoral or professional development work and activities in which you have been involved or you may wish to have placed on record any particular contributions which you have made to the general life of the school.

4. CAREER DEVELOPMENT

- 4.1. How would you like to see your career developing and what could be done by yourself, the School and L.E.A. to help?



**STAFF APPRAISAL : AGREED STATEMENT**

A4

**PART 1 : APPRAISAL RECORD**

The Appraiser should complete this section.

1. Appraisee: \_\_\_\_\_ Appraiser: \_\_\_\_\_

2. Date of Initial Meeting: \_\_\_\_\_

3. Dates of Classroom/Task Observation: \_\_\_\_\_

4. Date of Appraisal Interview: \_\_\_\_\_

5. Date of Completion of Agreed Statement: \_\_\_\_\_

6. Date of Review Meeting: \_\_\_\_\_

**PART 2 : DISCUSSION SUMMARY**

A4

Unless otherwise agreed, this section should not contain a detailed account of the discussions. Rather, it is intended as a brief record of the important points raised during discussions which are worthy of note.

1. Role Description

e.g. areas of focus, job satisfaction, etc.

2. Professional Development

3. Career Development

**PART 3 : AREAS OF DEVELOPMENT/TARGETS**

The Appraiser should, following discussion with the Appraisee, list here the 2/3 agreed targets which should be worked towards during the present appraisal cycle. The targets should be expressed clearly and specifically outlining timescale, resources needed, inset opportunities, etc. Both the Appraiser and Appraisee should agree targets which are precise and realistic, bearing in mind that both have a part to play in achieving them.

Targets

Signed: \_\_\_\_\_ (Appraisee)  
and \_\_\_\_\_ (Appraiser)

**STAFF APPRAISAL : INSERVICE IMPLICATIONS**

The following inservice needs have been identified by both the Appraisee \_\_\_\_\_ and myself as being necessary to achieve the agreed targets.

Inservice Needs

Signed: \_\_\_\_\_ (Appraiser)  
and  
Dated: \_\_\_\_\_

PLEASE RETURN TO THE HEADTEACHER

## STAFF APPRAISAL : REVIEW MEETING

A4

### 1. Introduction

- 1.1. The Review Meeting should take place in the second year of the appraisal cycle but not too close to the next appraisal interview. The general purpose of the Review Meeting is to discuss progress and developments in the areas that formed the basis of the previous Appraisal Interview and Statement. In the follow-up to the latter, both the Appraiser and Appraisee have parts to play. For example, the Appraiser should assist the Appraisee to achieve the set targets, either by way of advice or other means.

### 2. Discussion Topics

#### 2.1. The Review Meeting should focus upon –

- (i) the progress of the Appraisee and/or the School in meeting the targets set at interview.
- (ii) whether those targets are still appropriate;
- (iii) the usefulness to date and potential future use of any training undertaken since the interview;
- (iv) particular issues that the Appraisee wishes to raise with regard to their work; and
- (v) the career development needs of the Appraisee.

- 2.2. It is left to the discretion of the Appraiser and Appraisee as to whether they wish to make notes of this discussion before, during and after the Meeting.

### 3. Review Meeting Statement

#### 3.1. The Appraiser and Appraisee should record on all copies of the Appraisal Statement –

- (i) the fact that the meeting has taken place, and
- (ii) any modifications to the professional targets which have been decided and the reasons for those modifications.

## STAFF REVIEW : REVIEW MEETING

CONFIDENTIAL

DATE:

APPRAISER: \_\_\_\_\_

APPRAISEE: \_\_\_\_\_

### 1. TARGETS

i.e. modification to targets and reasons for.

Signed: \_\_\_\_\_ (Appraiser)

Date: \_\_\_\_\_

## STAFF APPRAISAL : EVALUATION

Every Appraisee is asked to complete this evaluation form. The information gained and opinions received will help discussions about improving the appraisal process and documentation. Please be specific in your comments.

WHAT DID YOU THINK ABOUT:-

1. Appraisal Documentation

e.g. Self-Appraisal, Agreed Statement, etc.

2. Classroom/Task Observation

e.g. timing, style of the Observer, checklist, etc.

3. Appraisal Process

e.g. Initial Meeting, Self-Appraisal, Appraisal Interview, etc

4. Any Other Comments

e.g. Appraisal Training

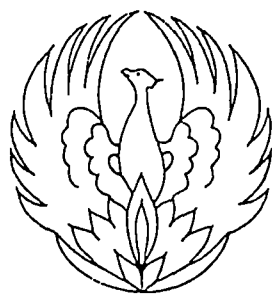
Signed: \_\_\_\_\_

## **Appendix 4.**

**School Three Documentation:**

**Staff Handbook.**

**Appraisal Forms.**

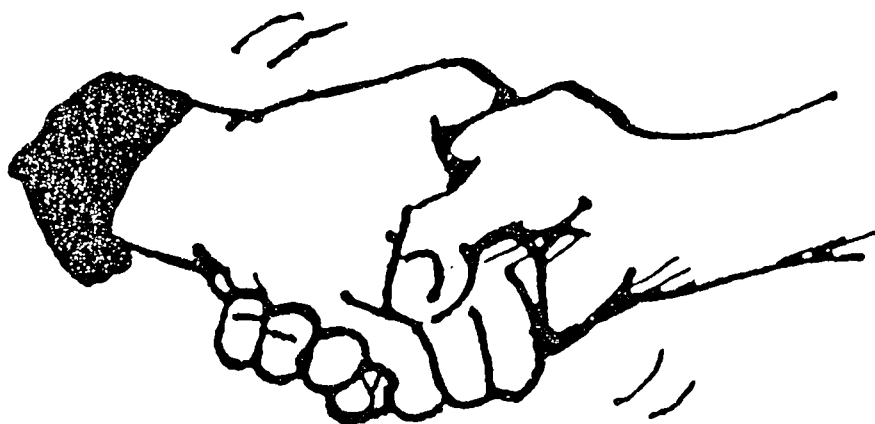


**SCHOOL**

At the Heart of the Community

APPRAISAL GUIDANCE

BOOKLET



Education Industry Partnership Award



## CONTENTS OF BOOKLET

Introduction

Time Budget Guide

1. Stage I
2. Planning Meeting (Optional)
3. Classroom Observation
4. Preparation for Interview
5. Appraisal Interview and Statement
6. Ongoing work between 1 & 2
7. Review Meeting Year 2 of Cycle
8. Appraisal Personal Record

Appendices

1. Self Appraisal forms
2. Classroom Observation outline form
3. Classroom Observation form
4. Preparation for Appraisal Interview form
5. Evaluation Sheet

## APPRAISAL BOOKLET

This booklet has been prepared with the guidance of staff in mind. Please refer to Red book Shropshire Appraisal for more detailed explanation.

### Points to Note:-

Appraisal is about self development and professional development.

It should be carried out throughout in a spirit of TRUST, RESPECT and SUPPORT. Remember too the rule of confidentiality - the only person allowed to talk in detail about your Appraisal is yourself. Nothing should be a surprise to either Appraisee or Appraiser. Therefore discussion briefing and negotiation should happen at every possible stage.

The Phoenix system should be fair and equal to all and should



follow the agreed procedures and documents described in this booklet.

Responsibility for copying the agreed Appraisal statement and targets and passing it on to \_\_\_\_\_ and the Inset needs section on to \_\_\_\_\_ The main lies with the Appraisee and also to keep the Appraisal Calendar up to date (in staff room).



Time Budget GuideRelevant forms

<u>Year 1</u>	Appraisee	Appraiser	
Self Preparation	1 hr		1a & b
Initial Meeting	1hr	1hr (optional)	
Pre observation	15 mins	15 mins	-
Classroom observation	-	2hrs (1 hour observation + 1 hour writing up) *covered by supply	3a
" feedback	30mins	30 mins	
Appraisal Interview	1 hr	1hr	4
Writing up draft statement & Targets	-	1hr	7
Agreement meeting on draft statement	30 mins	30 mins (optional)	9
TOTAL	4hrs 15mins	6hrs 15mins	

Year 2

Informal follow up 2 or 3 x 30 mins	1.1/2 hrs	1.1/2 hrs (optional)	
Review Meeting	1hr	1 hr	8
Writing up summary of review meeting and revised targets		1 hr	
Agreement on Review statement	30 mins	30 mins	
TOTAL	3hrs	4hrs	9

### Stage 1

- 1.1 You may spend some time on self preparation before you meet with your Appraiser - see suggested sheets at the back of this booklet Forms 1.
- 1.2 Agree on a time to meet your appraiser.
2. Planning meeting (1 hr) suggested Agenda. (Optional)
  - 2.1 Remind each other of the aims and elements of the Appraisal Cycle (p3 Red book).
  - 2.2 Agree on 2 or 3 areas of focus related to the Appraisees role - one area at least to be classroom related. \* see 3.2. Be aware of making them observable, trackable etc. Agree on methods of data collection.
  - 2.3 Agree whether you will complete a self appraisal for your Appraiser to see (It is a very helpful thing to do even in note form for both parties).
  - 2.4 Agree dates and focus for classroom observation give context of lesson etc. by completing form 2 hand it to your Appraiser before the observation.
  - 2.5 Agree on role and behaviour of Appraiser in your classroom (2 x 30 mins).
  - 2.6 Set dates for brief classroom observation feedback 30 mins within 48 hrs.
  - 2.7 Set date of Appraisal interview (1 hr). + venue
  - 2.8 N.B. If you choose not to have this meeting your focus areas for classroom observation will still need to be understood and 2.7 must be set.

### 3. Classroom Observation/Task Observation

- 3.1 Make sure that Appraiser has been briefed about your lesson and of any recent changes or developments.

All staff who teach must be observed for 1 hour on 2 or more occasions ie in reality 2 x 30 mins.

- 3.2 The following list gives some guidance for classroom foci:- but you are quite free to choose your own.

#### 3.2 Possible Classroom Observation foci

1. Ability to communicate clearly.
2. Ability to form relationships with pupils appropriate to the learning task.
3. Control of class.
4. Variety of approach and diet.
5. Good planning.
6. Suitable/appropriate use of resources.
7. Management of groupwork.
8. Degree of pupil involvement.
9. Overall purpose of lesson - has useful learning taken place?
10. Sensitivity to individual pupils' needs.

- 3.3 Form 3 should have been completed and discussed at the feedback session and given to Appraisee to bring to Appraisal Interview. Any notes are also the property of Appraisee.

#### 4. Preparation for Appraisal Interview Appraisee

##### 4.1 Appraisee

You may like to complete form 4 and give it to your Appraiser prior to your interview.

You need to be well prepared about the topics/issues you wish to talk about at the interview because your statement will be based on this discussion "Before the end of the first year of the appraisal cycle the appraiser shall hold an appraisal interview with the school teacher with the object of reviewing the school teacher's work, identifying the school teacher's achievements and aspects in which further development would be desirable, identifying any training and developmental needs and setting targets for action for the rest of the appraisal cycle."

Also bring your classroom observation feedback sheets.

##### 4.2 Appraiser

Read through any agreed collected data.

##### 5.1 Appraisal Interview (compulsory)

Balance of dialogue - Appraisee 80% Appraiser 20%

Make sure that the room is quiet, undisturbed (book the interview room or use an agreed office) and arrange it in a non-threatening way. Do not let it go on longer than 1.1/2 hours - 1 hour ideal.

##### 5.2 Think about the ending - keep it positive supportive and forward looking.

Remember what you have learned about listening summarising, keeping it focussed and about giving and receiving constructive feedback. It's not just a chat nor a formal interview - but a focussed dialogue.

##### 5.3 The Appraisers job is simply to prompt, elicit, clarify etc and to summarise (Try to do this every 5 minutes).

##### 5.4 Target setting - Remember that the appraisee at all times controls the topics but leave time for targets and summary.

##### 5.5 Leave the interview on a postitive note making sure that you have set a date for approving the statement + Target and Inset sections.

##### 5.6 Where there is dissent both viewpoints should be recorded - statement should be either legibly handwritten or typed/word processed by Appraiser (remember confidentiality).

##### 5.7 When approved, statement is then copied by Appraisee and handed to Headteacher also calendar sheet in staff room is updated.

6. Ongoing work between Year 1 & 2 (Optional)

Appraiser and Appraisee may need to meet occasionally to check that work on targets is progressing and that relevant Inset is occurring or being planned.

7. Review Meeting - Year 2 of Cycle

A formal meeting 1 hour needs to be arranged to check on progress of targets and Inset and to amend them as necessary.

7.1 Time management is also important for this meeting so that it achieves what it should (see section 5).

7.2 Appraisee should do some advance preparation by reading through previous statement or some more self appraisal. Appraiser also needs to remind themselves of the targets previously set and of their own responsibility in helping Appraisee to achieve them.

7.3 Suggested Agenda for Review Meeting (Appraisee's Choice)

- a) progress in meeting Targets set last year.
- b) whether those targets are still appropriate.
- c) usefulness of Inset undertaken since.
- d) career development needs.

7.4 Thus a continuous process of professional development aided by the relationships between Appraiser and Appraisee will be occurring. Each having a vital role in making it a positive supportive experience.

7.5 The Red Shropshire document explains the processes of Appeal in the event of things going wrong. However we would hope that if any teacher feels unhappy about any aspect of the Appraisal process including choice of Appraiser or that circumstances change causing difficulties that teacher would come to any one of the senior management team to discuss it so that amicable solutions could be sought early on.

## Appraisal

8. Appraisal Personal Record (Optional) Name: \_\_\_\_\_

Please tick and date as each section is complete.

		<u>Completed</u>	<u>Date</u>
	(Self Preparation		
	(Initial Meeting		
Yr 1	(Classroom Observation (1)		
	(Classroom Observation (2)		
	(Appraisal Interview		
	(Documents Handed to Headteacher		
	(Follow up meetings (Formal)		
Yr 2	( " " " (Informal)		
	(Review Meeting		

**Appraisal**

2

Classroom Observation : Lesson Outline

Complete this prior to observation and hand it to your Appraiser before the lesson takes place.

Appraisee:-

Appraiser:-

Date &amp; Periods:

Teaching group:

Role of Appraiser:

Focus Area/s: \_\_\_\_\_

Brief description of lesson &amp; context: Relevant to focus area.

Any other necessary factors eg individuals in groups or support teacher (have they been briefed?)

## Appraisal

3

Lesson:

Date:

Teacher:

### Classroom Observation

Focus Areas:-

Relevant points of Observation:-

Summary:-

Appraiser:.....

This is the property of the Appraisee a copy should be given to them on the day of the observation.



## Appraisal

4.

### Preparation for Appraisal Interviews (Optional)

The following questions will help to frame the discussion at your Appraisal Interview.

Your responses can be short and in note form.

You may wish to give a copy to your Appraiser 2 days before you meet.

You may need to consult your last Appraisal statement and targets.

- 4.1 Your Role in School: A copy of your job description may be helpful.

Any comments about this or changes you would like to discuss.

- 4.2 The agreed areas of focus and classroom observation feedback - your comments.

- 4.3 Which parts of your job have given you greatest satisfaction:

- 4.4 Which have given you least satisfaction.

- 4.5 What could be done by the school, department, year team etc to help you.

- 4.6 Targets

What type of targets would be useful for you to aim for (short and long term). Remember to keep them manageable, interesting and achievable.

Do you need any help to achieve them?

- 4.7 Future Planning

Where do you see yourself in 2 - 5 years? What help do you need in realising this?

You may wish to keep this in your CV file.

- 4.8 Professional Development in which you have usefully become involved over the last 2 years.

This could include:-

Courses, Working parties, organising something, working alongside another colleague, developing new courses or Teaching Topics. Leading discussion groups visiting other schools. Giving a talk or seminar. Being part of a committee putting up a special display. Helping another colleague or a student teacher taking on a new role, working with an advisor. Reading relevant books or articles, studying for a further qualification, summarising information from DFE, SEAC, etc for colleagues.

**Appraisal**

Form 9

Evaluation Sheet This can be completed at anytime in the cycle.  
It's purpose is to improve the system. How useful has the Appraisal  
process been to you?

What aspects could be better and how?

- a) Preparation of Appraisee & Appraiser.
- b) Paperwork.
- c) Organisation.
- d) Recording and Monitoring.

Any other comments.

date:.....

To: Sue T Please



## APPRAISAL STATEMENT

**N.B. THIS STATEMENT IS CONFIDENTIAL TO THE APPRAISEE  
APPRAISERS AND THE HEADTEACHER**

Appraisee.....Appraiser.....

---

## AGREED STATEMENT

### **PART I: Appraisal interview**

This section should be a succinct summary of the points raised during the interview.  
The appraisee is entitled to record any additional comments

## **PART 2: Agreed development areas**

At the appraisal interview we agree that these targets appeared to be realistic. They will be reviewed during the second year of the cycle.

The appraisee will be responsible for meeting the targets listed and the appraiser will be responsible for support as appropriate, in achieving these targets.

We will meet to check progress .....

and will meet .....199....., for the Review Meeting.

Appraisee's signature.....Appraiser's signature .....

---

## **PART 3**

### **PROFESSIONAL DEVELOPMENT ACTIVITIES**

We agree that this section can be given to:

Appraisee's signature.....Appraiser's signature.....

Date.....199....



## REVIEW STATEMENT

8

**N.B. THIS STATEMENT IS CONFIDENTIAL TO THE APPRAISEE  
APPRAISER AND HEAD**

Appraisee.....Appraiser.....

---

## AGREED STATEMENT

### PART I: Review discussion

This section should be a succinct summary of the points raised during the interview.

### PART 2: Agree action

At the review discussion we agreed to these alterations to targets and/or support.

We agree that this is a fair record of the main points raised in the review discussion.

Date.....199....

Signature..... Appraiser's signature.....